Office of the Chief Master Sergeant of the Air Force
1670 Air Force Pentagon
Washington DC 20330-1670

As you open the pages of this study guide, I encourage you to take a moment and reflect on your Air Force career thus far. More than likely, you've seen many changes in our force – we're smaller, more expeditionary and more high-tech than ever before.

The challenges we've faced as a force have been many, but throughout it all one thing remains constant—the dedication and commitment of our people.

As you aspire to the top two ranks, it is imperative that you firmly grasp the importance of taking care of the people who take care of the mission. It is your job to train them, discipline them, care for them, and reward them.

I challenge you to use the information in this study guide as more than just an avenue to the ranks of senior and chief master sergeant. Apply the leadership principles you've learned throughout your career to make those that come behind you better Senior NCOs than you and I are today. The future of our Air Force depends on it.

Thank you for your continued service and leadership. I wish you the best in your pursuit of promotion, and in your Air Force career.

GERALD R. MURRAY
Chief Master Sergeant of the Air Force

BY ORDER OF THE
SECRETARY OF THE AIR FORCE

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1 JULY 2003

Personnel

USAF SUPERVISORY EXAMINATION (USAFSE) STUDY GUIDE

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This pamphlet implements AFI 36-2201, Volume 3, *Air Force Training Program On the Job Training Administration,* Chapter 5. **The first testing cycle affected by this edition is the E-9 testing cycle in September 2003.** Information in this study guide is taken primarily from Air Force publications and is based on knowledge requirements from the MKTS. **This study guide is current as of 31 December 2002. (*NOTE:* If an Air Force publication changes any information referenced in this study guide, the governing publication takes precedence.)** Attachment 1 contains a glossary of references and supporting information to assist you while you read and study the material.

The USAFSE Study Guide (Volume 2) and Promotion Fitness Examination (PFE) Study Guide (Volume 1) are the only study references required for the USAFSE. Both study guides provide the information needed by senior noncommissioned officers (SNCO) when preparing for the USAFSE. Recommendations to change, add, or delete information in AFI 36-2201, Volume 3, Chapter 5 or this pamphlet should be sent to the Air Force Occupational Measurement Squadron (AFOMS/PD), 1550 5th Street East, Randolph AFB TX 78150-4449, DSN 487-4075, or e-mail: **pfesg@randolph.af.mil.** ***NOTE:*** Do not use AF Form 1000, **IDEA Application.**

Maintain and dispose of records created as a result of prescribed processes in accordance with AFMAN 37-139, *Records Disposition Schedule* (will become AFMAN 33-322, Volume 4).

SUMMARY OF REVISIONS

This document is substantially revised and must be completely reviewed. The Military Knowledge and Testing System (MKTS) code key and corresponding subject codes have been deleted; they do not apply to PFE or USAFSE (test) development and have no bearing on the level of comprehension required for promotion test preparation.

INTRODUCTION

This study guide, along with AFPAM 36-2241, Volume 1, *Promotion Fitness Examination Study Guide,* is to be used to study for the USAFSE. This volume covers subjects carefully selected by the most senior members of the enlisted force. Its content is required knowledge for any SNCO who wishes to become a fully effective leader and manager.

Some information in this volume is brand new; some has been rewritten in response to the rapid changes in our Air Force. The chapters in this volume, to a certain extent, coincide with those in Volume 1. Lastly, as in any publication revision, there are minor changes and modifications throughout.

In addition to direction from the MKTS Advisory Council, the changes incorporated are as a result of feedback received from the field identifying ways to improve the format, readability, and adequacy of the subject matter. We take seriously all suggestions to improve this study guide. Our objective is to provide enlisted personnel a reference that is easy to understand, yet provides ample coverage of those subjects considered appropriate.

The MKTS code key has been eliminated. For further information, see the introduction in AFPAM 36-2241, Volume 1.

AIR FORCE TEST COMPROMISE POLICY

WARNING!!! **Because the USAFSE counts for up to 100 points of your total SNCO Promotion Program score, it is important that you establish a *SELF-STUDY* program to help you score well. Self-study is highlighted to emphasize that group study (two or more people) and training programs specifically designed to prepare for promotion tests are strictly prohibited by AFI 36-2605, *Air Force Military Personnel Testing System*.** This prohibition protects the integrity of the NCO Promotion Program by helping to ensure USAFSE scores are a reflection of each member's individual effort.

In addition to group study, specific compromise situations you must avoid include, but are not limited to: (1) discussing the contents of a USAFSE with anyone other than the test control officer or test examiner; and (2) sharing pretests or lists of test questions recalled from a current or previous USAFSE, personal study materials, underlined or highlighted study reference material, or commercial study guides with other individuals.

Air Force members who violate these prohibitions are subject to prosecution under Article 92 (1) of the Uniform Code of Military Justice (UCMJ) for violating a lawful general regulation. Refer to Chapter 13 of AFPAM 36-2241, Volume 1, for more information regarding test compromise.

The SNCO Promotion Program, like the Weighted Airman Promotion System, was developed as an objective method of promoting the most deserving airmen to the next higher grade. Any time a promotion examination is compromised, there's a possibility that one or more undeserving airmen will be promoted at the expense of those who followed the rules. **Do not place your career in jeopardy. Study, take your promotion examination, and earn your next stripe—on your own!**

Chapter 1

THE JOINT FORCE

1.1. Introduction.

Over time, the American experience in war increasingly demanded cooperation, coordination, and integration of all US military Services. Today, joint operations are routine and, thus, routinely practiced. Whether there are years to prepare and plan (as in the Normandy invasion during World War II [WWII]), months (as in Operation Desert Storm), or only a few weeks (as in Operation Enduring Freedom), the US Armed Forces must always be ready to operate in smoothly functioning joint teams. This chapter will discuss the joint environment, the key Joint Vision 2020 (JV 2020) concept of full-spectrum dominance, and how Air Force air and space power contributes to the achievement of full-spectrum dominance. Topics in this chapter are extracted from Joint Publication (JP) 1, *Joint Warfare of the Armed Forces of the United States;* JP 3-56.1, *Command and Control for Joint Air Operations;* JV 2020; and AFDD 1, *Air Force Basic Doctrine*.

1.2. The Joint Environment:

1.2.1. Deterrence is the first line of national security for the United States. If deterrence fails, our objective is to win the Nation's war. In military operations other than war (MOOTW), our purpose is to promote national security and protect our national interests.

1.2.2. Unlike nations whose military forces can concentrate on a more limited range of environments, members of the US Armed Forces face the challenge of mastering multifaceted conditions. The ability to project and sustain the entire military range over vast distance is a basic requirement for the US Armed Forces; this ability contributes day in and day out to maintaining stability and deterrence worldwide. This projection of power is inherently a joint undertaking because of the broad range of forces typically used; the inter-Service linkages of modern command, control, and communications; and the multi-Service structure of the defense transportation system.

1.2.3. Now, more than ever, land, sea, and air forces reinforce and complement each other. Joint teams must be trained and ready before conflict. The demands of fighting both as an industrial and postindustrial power place a premium on well-educated, professional men and women who have mastered the modern warfare tools, yet maintained the traditional fighting spirit. Reserve components play essential roles in ensuring a balanced array of skills is available as needed. All soldiers, sailors, airmen, marines, and coast guardsmen must be adept at working with fellow members of the US military and with allies and other foreign partners. To meet the challenges of the joint environment, the joint force must be able to achieve full-spectrum dominance.

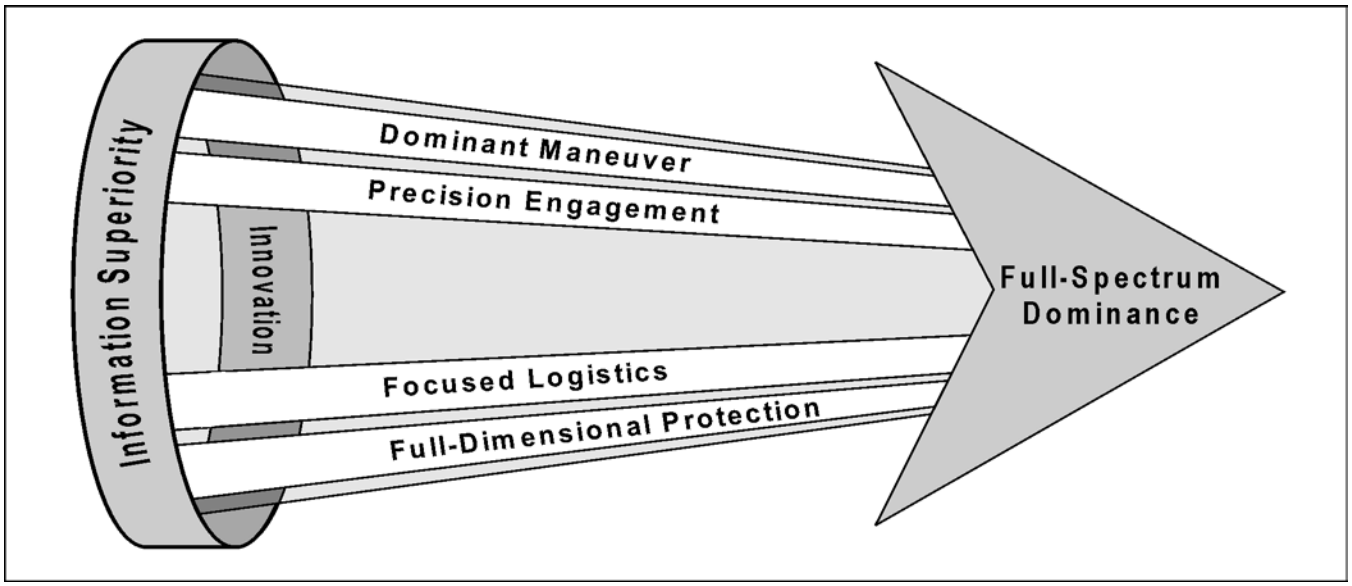
1.3. Full-Spectrum Dominance:

1.3.1. The ultimate goal of our military force is to accomplish the objectives directed by the President. For the joint force, this goal will be achieved through full-spectrum dominance—the ability of US forces, operating unilaterally or in combination with multinational and interagency partners, to defeat any adversary and control any situation across the full range of military operations. Full-spectrum dominance implies that US forces are able to conduct prompt, sustained, and synchronized operations with combinations of forces tailored to specific situations and with access to and freedom to operate in all domains—space, sea, land, air, and information. Additionally, given the global nature of our interests and obligations, the United States must maintain its overseas presence forces and the ability to rapidly project power worldwide in order to achieve full-spectrum dominance.

1.3.2. Full-spectrum dominance is achieved through dominant maneuver, precision engagement, focused logistics, and full-dimensional protection, all of which are enabled by information superiority, and innovation (Figure 1.1).

1.3.2.1. Dominant Maneuver. The joint force capable of dominant maneuver will possess unmatched speed and agility in positioning and repositioning forces from widely dispersed locations to achieve operational objectives quickly and decisively. The capability to rapidly mass force or forces and the effects of dispersed forces allow the joint force commander (JFC) to control the battlespace at the proper time and place. Beyond actual physical presence of the force, dominant maneuver creates an impact in the minds of opponents and others in the operational area.

Figure 1.1. Full-Spectrum Dominance.



1.3.2.2. Precision Engagement. Precision engagement is effects-based engagement that is relevant to all types of operations. Its success depends on indepth analysis to identify and locate critical nodes and targets. The pivotal characteristic of precision engagement is the linking of sensors, delivery systems, and effects. During conflict, the commander will use precision engagement to obtain lethal and nonlethal effects in support of the objectives of the campaign. Actions could include destroying a target using conventional forces, inserting a special operations team, or even executing a comprehensive psychological operations mission. In noncombat situations, precision engagement activities will naturally focus on nonlethal actions. For example, these actions will be capable of defusing volatile situations, overcoming misinformation campaigns, or directing a flow of refugees to relief stations.

1.3.2.3. Focused Logistics. Focused logistics will enhance military capability by ensuring delivery of the right equipment, supplies, and personnel in the right quantities, to the right place, at the right time to support operational objectives. This concept continues to evolve and will result from revolutionary improvements in information systems, innovation in organizational structures, reengineered processes, and advances in transportation technologies. The result for the joint force will be an improved link between operations and logistics resulting in precise time-definite delivery of assets to the war fighter. The capability for focused logistics will effectively support the joint force in combat and provide the primary operational element in the delivery of humanitarian relief, disaster relief, or other activities across the range of military operations.

1.3.2.4. Full-Dimensional Protection. Our military forces must be capable of conducting decisive operations despite our adversaries' use of a wide range of weapons (including weapons of mass destruction), the conduct of information operations or terrorist attacks, or the presence of asymmetric threats during any phase of these operations. Full-dimensional protection exists when the joint force can decisively achieve its mission with an acceptable degree of risk in both the physical and information domains. The capability for full-dimensional protection will be based on active and passive defensive measures, including theater missile defenses and possibly limited missile defense of the United States, offensive countermeasures, security procedures, antiterrorism measures, enhanced intelligence collection and assessments, emergency preparedness, heightened security awareness, and proactive engagement strategies. The result will be improved freedom of action for friendly forces and better protection at all echelons.

1.3.2.5. Information Superiority:

1.3.2.5.1. The transformation of the joint force to reach full-spectrum dominance rests upon information superiority as a key enabler and our capacity for innovation. Information, information processing, and communications networks are at the core of every military activity. Throughout history, military leaders have regarded information superiority as a key enabler of victory. However, the ongoing "information revolution"

is creating not only a quantitative but also a qualitative change in the information environment that will result in profound changes in the conduct of military operations. While the goal of achieving information superiority will not change, the nature, scope, and "rules" of the quest are changing radically.

1.3.2.5.2. Achieving information superiority is not an end in itself. Information superiority provides the joint force a competitive advantage only when it is effectively translated into superior knowledge and decisions. The joint force must be able to take advantage of superior information converted to superior knowledge to achieve "decision superiority"—better decisions arrived at and implemented faster than an opponent can react—or in a noncombat situation, at a tempo that allows the force to shape the situation or react to changes and accomplish its mission.

1.3.2.5.3. Decision superiority does not automatically result from information superiority. Organizational and doctrinal adaptation, relevant training and experience, and the proper command and control mechanisms and tools are equally necessary. The joint force will use superior information and knowledge to achieve decision superiority, to support advance command and control capabilities, and to reach the full potential of dominant maneuver, precision engagement, full-dimensional protection, and focused logistics. The breadth and pace of this evolution demand flexibility and a readiness to innovate.

1.3.2.6. Innovation:

1.3.2.6.1. Innovation, in its simplest form, is the combination of new "things" with new "ways" to carry out tasks. In reality, it may result from fielding completely new things, or the imaginative recombination of old things in new ways, or something in between.

1.3.2.6.2. An effective innovation process requires continuous learning—a means of interaction and exchange that evaluates goals, operational lessons, exercises, experiments, and simulations—and this must include feedback mechanisms. The Services and combatant commands must allow our highly trained and skilled professionals the opportunity to create new concepts and ideas that may lead to future breakthroughs. By creating innovation, the combatant commands and Services also create their best opportunities for coping with the increasing pace of change in the overall environment in which they function. Although changing technology is a primary driver of environmental change, it is not the only one. The search for innovation must encompass the entire context of joint operations—which means the Armed Forces must explore changes in doctrine, organization, training, materiel, leadership and education, personnel, and facilities, as well as technology. Ultimately, the goal is to develop reasonable approaches with enough flexibility to recover from errors and unforeseen circumstances.

1.3.3. Achieving full-spectrum dominance means the joint force will fulfill its primary purpose—victory in war—as well as achieving success across the full range of operations, but it does not mean we will win without cost or difficulty. Conflict results in casualties despite our best efforts to minimize them and will continue to do so when the force has achieved full-spectrum dominance. The United States will win—but it should not expect war in the future to be either easy or bloodless.

1.4. United States Air Force Air and Space Power in the Joint Force:

1.4.1. Air Force Doctrine.

The overriding objective of any military force is to be prepared to conduct combat and noncombat operations in support of national political objectives. The Air Force conducts air, space, and information warfare, assisting the joint force in achieving full-spectrum dominance leading to the accomplishment of the JFC's objectives. In order to understand air and space power's role in joint operations, one must understand Air Force doctrine. AFDD 1, governs the application of air and space forces in operations across the full range from global nuclear to conventional warfare to MOOTW.

1.4.2. Definition, Purpose, and Origin.

Doctrine is a collection of accepted truths gained primarily from the study and analysis of experiences from actual combat or contingency operations, as well as equipment tests or exercises. It describes the best way to organize, train, equip, and sustain forces. Doctrine reflects what has usually worked best.

1.4.3. Air and Space Power Employment.

Air and space power employment is guided by the principles of war and tenets of air and space power, implemented through distinctive capabilities. To properly apply United States Air Force forces in the joint environment, all airmen must understand these fundamental beliefs as they apply to air and space power.

1.5. Principles of War.

Throughout history, military leaders have noted certain principles that tended to produce military victory. Known as the principles of war, they are those aspects of warfare that are universally true and relevant. Combined with the fundamentals of air and space power discussed later in this chapter, the principles of war provide the basis for a sound and enduring doctrine. The principles of war apply equally to all of the US Armed Forces. As the Air Force component of the joint team, airmen should appreciate how these principles apply to all forces but must fully understand them as they pertain to air and space. These principles include unity of command, objective, offensive, mass, maneuver, economy of force, security, surprise, and simplicity.

1.5.1. Unity of Command.

This principle ensures effort directed to a common objective is concentrated under one responsible commander. Unity of command is important for all forces, but it is vital in employing air and space forces because of its global and theater-wide capabilities. These far-ranging and strategic capabilities can best be discharged only through the integrating function of centralized control under an airman.

1.5.2. Objective:

1.5.2.1. This principle advocates directing (unity of effort) military operations toward a defined and attainable goal. The objective is important in all military forces, but it is especially so in air, space, and information warfare due to the versatility of air and space forces.

1.5.2.2. In a broad sense, the principle of objective holds that political and military goals should be complementary and clearly articulated. From an airman's perspective, the principle of objective establishes priorities, concentrates forces to these priorities, and avoids siphoning force elements to fragmented objectives.

1.5.3. Offensive:

1.5.3.1. This principle is to act rather than react, and it dictates the time, place, purpose, scope, intensity, and pace of operations. This principle holds that offensive action (initiative) enables joint forces to dictate battlefield operations.

1.5.3.2. Air and space forces are best used as an offensive weapon and are inherently offensive at the tactical level, even when employed in the operational or strategic defense because control of air and space is offensive in execution. A well-planned and executed air attack is extremely difficult to completely stop. Air and space forces' speed and range give them a significant offensive advantage over surface and defending air and space forces because the defender often requires more assets to defend specific ground targets than the attacker requires to strike them.

1.5.4. Mass.

Under this principle, combat power is concentrated at a decisive time and place. Generally, surface forces must mass before launching an attack, whereas air power is singularly able to launch from widely dispersed locations and mass combat power. Mass is an effect—not just overwhelming quantity. The speed, range, and flexibility of air and space forces—complemented by precision weapons and advances in command, control, and information-gathering technologies—allow air and space forces to achieve mass faster than surface forces.

1.5.5. Maneuver:

1.5.5.1. This principle calls for the flexible application of combat power to place the enemy at a

disadvantage. Air and space maneuver's ability is not only a product of speed and range, but also a product that flows from flexible and versatile planning and execution. Like the offensive, maneuver forces force the enemy to react, allow the exploitation of successful friendly operations, and reduce vulnerabilities.

1.5.5.2. The ability to quickly integrate a force and strike directly at strategic or operational centers of gravity (COG) is a key theme. A COG contains the characteristics, capabilities, or localities from which a force derives its freedom of action, physical strength, or will to fight.

1.5.6. Economy of Force.

This principle calls for a rational use of force by selecting the best combat power mix. To ensure overwhelming combat power is available, minimum power should be dedicated to secondary objectives that do not support the larger operational or strategic objectives. This is especially critical for air and space power because of its flexibility and versatility that can lead to misuse or misdirection, reducing its contribution even more than enemy action. Although this principle suggests the use of overwhelming force in one sense, it also recommends against "overkill" by guarding against unnecessary force.

1.5.7. Security.

This principle requires that friendly forces and their operations be protected from enemy action. This principle also enhances freedom of action by reducing friendly forces' vulnerability and creating opportunities to strike the enemy where least expected. Air power is most vulnerable on the ground. Thus, air base defense is an integral part of air power deployments. Bases must not only withstand aerial and ground attacks, they must also sustain concentrated and prolonged air activities. This is especially important during peace support or crisis situations when forces may operate from austere and unimproved locations and face threats from individuals and groups, as well as possible military or paramilitary units.

1.5.8. Surprise:

1.5.8.1. This principle leverages the security principle by attacking the enemy at a time or place or in a manner for which the enemy is unprepared. Surprise is one of air and space power's strongest advantages. Speed, range, flexibility, and versatility allow air forces to achieve surprise more readily than surface forces.

1.5.8.2. In 1990, Saddam Hussein failed to consider the global presence of air and space forces. When the first explosions rocked downtown Baghdad, the ability of modern air power to strike without warning, and with great accuracy, proved the Iraqi dictator wrong. Saddam Hussein grossly misjudged the power of an integrated surprise air attack. Air and space power allowed the coalition to achieve victory while ensuring the coalition forces themselves would not become victims of surprise.

1.5.9. Simplicity.

Simplicity calls for avoiding unnecessary complexity in organizing, preparing, planning, and conducting military operations. This ensures guidance, plans, and orders are as simple and direct as the objective allows. Common equipment, a common understanding of Service and joint doctrine, and familiarity with procedures through joint exercises and training can help overcome complexity.

1.6. Tenets of Air and Space Power.

The fundamental guiding truths of air and space power employment are known as tenets. Air and space power is intrinsically different from either land or sea power, and its employment is guided by different rules. Air and space mediums operate in three dimensions. While air power is primarily governed by aerodynamics, space power is guided by orbital mechanics and is not limited by Earth's vertical atmosphere. These tenets are centralized control and decentralized execution, flexibility and versatility, synergistic effects, persistent operations, concentration of purpose, priority, and balance.

1.6.1. Centralized Control and Decentralized Execution of Air and Space Forces.

Centralized control and decentralized execution of air and space forces are critical to force effectiveness.

1.6.1.1. Air and space power must be controlled by one entity (commander or command group) with a broad strategic and/or theater perspective in prioritizing the use of limited air and space assets in any contingency.

1.6.1.2. Just as central to the proper application of air and space power is the concept of decentralized execution. The delegation of execution authority to responsible and capable lower-level commanders is essential to achieve effective span of control and foster initiative, situational responsiveness, and tactical flexibility.

1.6.1.3. Centralized control and decentralized execution are illustrated by the 2,000 to 3,000 sorties flown each day in the Gulf War. The single command intent of the JFC was centrally planned and then distributed and executed across an entire theater battlespace by the following: over 500 flight leads; mission, crew, and flight commanders; and support teams in a continuous application against an entire range of separately engaging, thinking, and reacting enemies.

1.6.2. Flexibility and Versatility of Air and Space Power.

Although often used interchangeably, flexibility and versatility are distinct in meaning.

1.6.2.1. Flexibility allows air and space forces to exploit mass and maneuver simultaneously to a far greater extent than surface forces. Flexibility allows air operations to quickly and decisively shift from one campaign objective to another. The A-10, usually considered a close air support (CAS) aircraft, took on many interdiction missions during Operation Desert Storm, while one wing of F-111s, optimized as long-range, deep-interdiction aircraft, destroyed hundreds of tanks and armored fighting vehicles with precision weapons.

1.6.2.2. Versatility means that air and space forces can be employed equally effectively at the strategic, operational, and tactical levels, and these forces can simultaneously achieve objectives at all three levels of war in “parallel operations.”

1.6.2.3. Parallel operations describe the idea that air and space operations are most effective when they create effects that help achieve different levels of objectives at the same time. For example, attacks against enemy surface forces in tactical formations, army field headquarters, and national command centers on succeeding days could be considered examples of parallel attacks. Each of these targets operates typically at a different level of operations; that is, the tanks and trucks represent the tactical level of operations, the army field headquarters can be considered an operational-level target, and the national command center is an example of an enemy target operating at the strategic level of operations. Hitting at all these levels at the same time on the same day is an example of simultaneous and parallel attack.

1.6.2.4. Simultaneous and parallel operations are the most effective use of air and space power in producing shock, confusion, and paralysis within the adversary’s system. The versatility of air and space power, properly executed in parallel attacks, can attain parallel effects that present the enemy with multiple crises occurring so quickly there is no way to respond to all or, in some cases, any of them.

1.6.3. Synergistic Effects of Air and Space Forces.

The proper coordinated force can produce effects that exceed separately employed individual forces. The destruction of a large number of targets through attrition warfare is rarely an objective. The key objective in modern war is the precise, coordinated application of various elements of air and space and surface forces to bring disproportionate pressure on enemy leaders to comply with our national will.

1.6.4. Persistent Operations of Air and Space Systems:

1.6.4.1. Unlike surface power, air and space power’s speed and range allow its forces to visit and revisit wide ranges of targets over and over, if necessary. Air and space power does not have to occupy terrain or remain near the operation to bring force to bear. Space forces in particular hold the ultimate high ground; they offer the potential for permanent presence over any part of the globe.

1.6.4.2. Persistence is a critical element in ensuring the prolonged effect of air, space, and information operations. Persistent operations goals include maintaining a continuous flow of materiel to peacetime distressed areas, constantly watching an adversary to ensure it cannot conduct subversive actions, ensuring

targets are kept out of commission, and ensuring enemies are denied resources and facilities. The end result would be to deny the opponent an opportunity to seize the initiative and accomplish its tasks.

1.6.4.3. The intent of most modern air and space operations is to quickly attain objectives through swift, parallel, and decisive blows to the adversary's COG. Given sufficient time, even the most devastating strategic effects can be circumvented by resourceful enemies. Therefore, the goal is to keep the pressure on and not allow the enemy this time.

1.6.5. Concentration of Purpose of Air and Space Operations.

One of the most enduring and important concepts is to concentrate overwhelming power at the decisive time and place. The principles of mass and economy of force deal directly with the concentration of overwhelming power. The demand for air and space forces will often exceed their availability and may result in fragmenting the integrated air and space effort. Hence, airmen must guard against the inadvertent dispersion of air and space power effects resulting from high demand.

1.6.6. Priority of Air and Space Operations.

Demands for air and space forces could swamp air commanders in future conflicts unless appropriate priorities are established. Only theater-level commanders of land and naval components can effectively prioritize air component support requirements to the JFC, and only then can the JFC (in dialog with the air component commander) effectively establish air and space force priorities. The air commander should assess the possible uses of air and space forces, force strengths and capabilities to support the battle at hand, concurrent air operations, and the overall joint campaign. Limited resources require air and space forces to be applied where they can make the greatest contribution to the most critical and current JFC requirements. The principles of mass, offensive, and economy of force; the tenet of concentration; and the airman's strategic perspective all apply to prioritizing air and space force operations.

1.6.7. Balance of Air and Space Operations.

Balance is an essential guideline for air commanders. Because technologically sophisticated air and space assets are only available in finite numbers, balance is a crucial determinant for an air commander. An air commander should balance combat opportunity, necessity, effectiveness, efficiency, and the impact on accomplishing assigned objectives against the associated risk to friendly forces. An air commander is uniquely suited to determine the proper theater-wide balance between offensive and defensive operations and among strategic, operational, and tactical applications.

1.7. Distinctive Capabilities.

The distinctive capabilities represent the combination of professional knowledge, air and space power expertise, and technological know-how that, when applied, produce superior military capabilities. The Air Force's distinctive capabilities are not doctrine per se, but they are the enablers of our doctrine. They begin to translate the central beliefs of doctrine into operational concepts. A particular distinctive capability is not necessarily unique to the Air Force. However, speed, flexibility, and the global nature of its reach and perspective distinguish the Air Force's execution of its distinctive capabilities.

1.7.1. Air and Space Superiority.

Defined as control over what moves through air and space, air and space superiority prevents adversaries from interfering with operations of air, space, or surface forces and ensures freedom of action and movement. It allows all US forces freedom *from* attack and freedom *to* attack. Using this Air Force competency, the joint force can dominate enemy operations in all dimensions.

1.7.2. Global Attack.

All military Services provide strike capabilities, but the ability of the Air Force to attack rapidly and persistently with a wide range of munitions anywhere on the globe at any time is unique. Depending on the assigned mission and the specific system required, responsiveness of air and space forces could be instantaneous. The decline of both Total Force structure and worldwide bases has decreased the size of our

forward presence and forced the US military to become primarily an expeditionary force. The Air Force, with its growing space force, its intercontinental ballistic missiles, and its fleet of multirole bombers and attack aircraft supported by a large tanker fleet, is ideally suited to such operations. Our Service is able to rapidly project power over global distances and maintain a virtually indefinite "presence" over an adversary. When combined with our inherent strategic perspective, Air Force operations can be both the theater's first and potentially most decisive force in demonstrating the Nation's will to counter an adversary's aggression. The obvious ability to continuously observe an adversary's actions from space and then, when provoked, to swiftly respond with a wide variety of capabilities provides the true essence of deterrence.

1.7.3. Rapid Global Mobility.

This competency provides the Nation its global reach and underpins its role as a global power. When an operation must be carried out quickly, airlift and aerial refueling will be the key players. These forces will be in great demand by future JFCs for tasks such as building an air bridge for joint forces, enabling multinational peace efforts, or speeding tailored support to forces already on the scene. Rapid deployment will remain the future joint team's most reliable combat force multiplier.

1.7.4. Precision Engagement.

The essence of the Air Force's distinctive capability of precision engagement lies in the ability to apply selective force against specific targets and achieve discreet and discriminate effects. The Nation needs the precise application of military capability to meet policy objectives. Precision engagement provides the Nation with *reliable* precision, an ability to deliver what is needed for the desired effect, but with minimal risk and collateral damage.

1.7.5. Information Superiority.

While information superiority is not the Air Force's sole domain, it is, and will remain, an Air Force distinctive capability. The ability of the future joint team to achieve dominant battlefield awareness will depend heavily on the ability of the Air Force's air- and space-based assets to provide global awareness, intelligence, communications, weather, and navigation support. The Air Force plans to exploit the technological promise of unmanned aerial vehicles (UAV) for a variety of missions.

1.7.6. Agile Combat Support.

Agile combat support is recognized as a distinctive capability for its central role in enabling air and space power to contribute to the objectives of a JFC. Effective combat support operations allow combatant commanders to improve the responsiveness, deployability, and sustainability of their forces. The efficiency and flexibility of agile combat support will substitute responsiveness for massive deployed inventories. The Air Force has adopted the concept of time-definite resupply, which is a fundamental shift in the way we support deployed forces and one which will reduce total lift requirements. To provide this capability, however, command and control must be improved. Agile combat support's essential contribution to air and space combat capability complements the joint designation of focused logistics as an operational concept.

1.8. Key Organizing Concepts:

1.8.1. Overview.

In addition to the doctrine that Air Force commanders and personnel at all levels use to make decisions, several key organization concepts guide overall Air Force policy and direction. The following paragraphs discuss these concepts.

1.8.2. The Air Force Has Three Components: Active Duty, Air National Guard, and Air Force Reserve.

The Air Force organizes, trains, and equips as one Total Force with individual components made up of military and civilian personnel. Selected air reserve component (ARC) forces are the initial and primary sources of augmentation of the active force. ARC forces are manned, trained, and equipped to deploy with or support active forces as required.

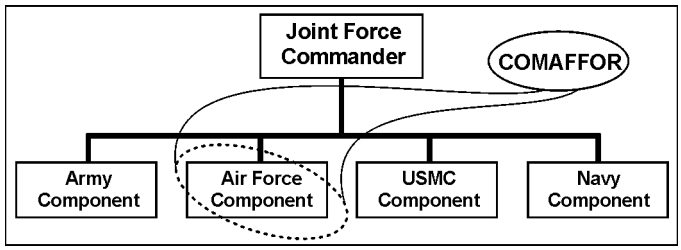
1.8.3. The Air Force Is America's Only Full-Service Air and Space Force.

Air and space arms of the other Services have surface defense and support mission priorities that limit their ability to exploit the full scope of air and space operations. For example, Army and Marine aviation arms are organized and trained to provide immediate and close support to their ground forces. Likewise, naval aviation's first priority is to support fleet operations. In contrast, only the Air Force is charged with preparing air and space forces that are organized, trained, and equipped to fully exploit air and space power's capability to accomplish assigned missions across all theaters and the full spectrum of operations.

1.8.3.1. Commander, Air Force Forces (COMAFFOR):

1.8.3.1.1. JFCs choose the capabilities they need from the Army, Air Force, Marine, and Navy forces operating under a unified command, subunified command, or as part of a joint task force. Each Service component has a commander responsible for its Service's forces (Figure 1.2). The Air Force commander is titled the Commander, Air Force Forces, or better known as the COMAFFOR.

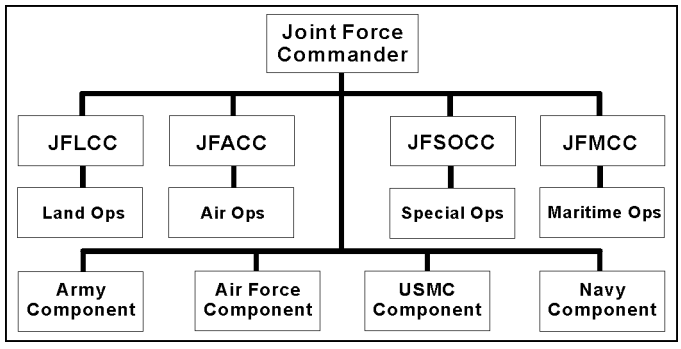
Figure 1.2. Service Components of a Joint Force.



1.8.3.1.2. The COMAFFOR and his or her forces are either assigned or attached to a JFC for completion of a mission or tasking. As such, the COMAFFOR serves as the single air and space power commander and presents the JFC with a complete air and space package, one that is properly trained, equipped, balanced, sustained, etc.

1.8.3.2. Joint Forces Air Component Commander (JFACC). In addition to each service component, the JFC will most likely appoint four functional component commands—the Joint Force Land Component Commander (JFLCC) responsible for all land operations, the JFACC responsible for all air operations, the Joint Forces Special Operations Component Commander (JFSOCC) responsible for all special operations, and the Joint Forces Maritime Component Commander (JFMCC) responsible for all maritime operations (Figure 1.3).

Figure 1.3. Functional and Service Components of a Joint Force.



1.8.3.2.1. The JFACC exploits the capabilities of joint air operations. The JFACC's duties normally include, but are not limited to, planning, coordination, allocation, and tasking based on the JFC's apportionment (weight of effort) decision. During an operation, the JFACC comes from the Service that has the majority of air and space assets and the ability to control them. An operation could occur where the Navy has the majority of air and space assets and the ability to control them which would mean a naval aviator would more than likely be appointed by the JFACC. In most instances, the COMAFFOR will be dual-hatted as the JFACC.

1.8.3.3. Organizing for Wartime with Global Capabilities and Responsibilities. Organizational structures and processes must be simple, responsive, and flexible. The Air Force supports a single chain of command with two branches (Figure 1.4).

1.8.3.3.1. Major Command (MAJCOM). The Air Force organizes, trains, and equips air forces through its MAJCOMs. The organization of these MAJCOMs is based on combat, mobility, space, and special operations, plus the materiel support required for these operations. This branch can be thought of as the administrative chain of command. United States Air Force forces are presented through the operational chain of command to a JFC for employment through an organizational concept called an air and space expeditionary task force (AETF).

1.8.3.3.2. AETF. The AETF is the designated Air Force organization to fulfill the joint force and JFACC campaign objectives. An AETF encompasses all United States Air Force forces assigned or attached to the joint force, is the designated United States Air Force organization to fulfill the joint force and JFACC campaign objectives, and is established for a temporary time to perform a specific mission. AETFs range in size from a single wing all the way up to a numbered air force (NAF) and are made up of any one or a combination of air and space expeditionary wings (AEW), air and space expeditionary groups (AEG), or air and space expeditionary squadrons (AES) (Figure 1.5). Forces for an AETF are normally taken from the various components of the AEF (Figure 1.6). An AETF provides both the JFC and JFACC with a single point of contact for United States Air Force air and space force capabilities in a scalable, task-organized, tailored package.

Figure 1.4. Single Chain of Command with Two Branches.

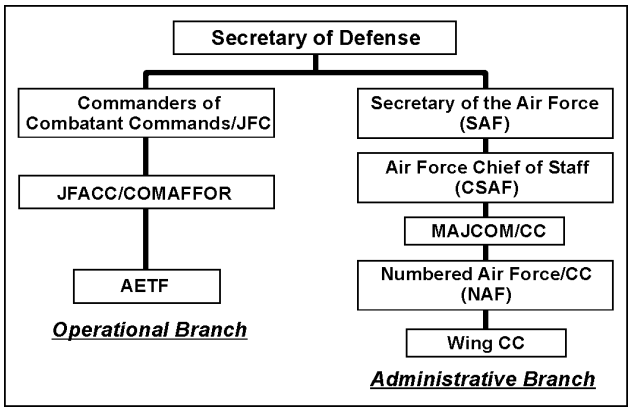


Figure 1.5. AETF.

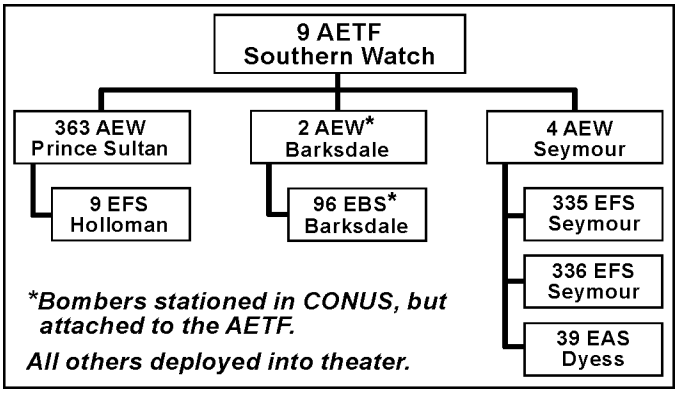
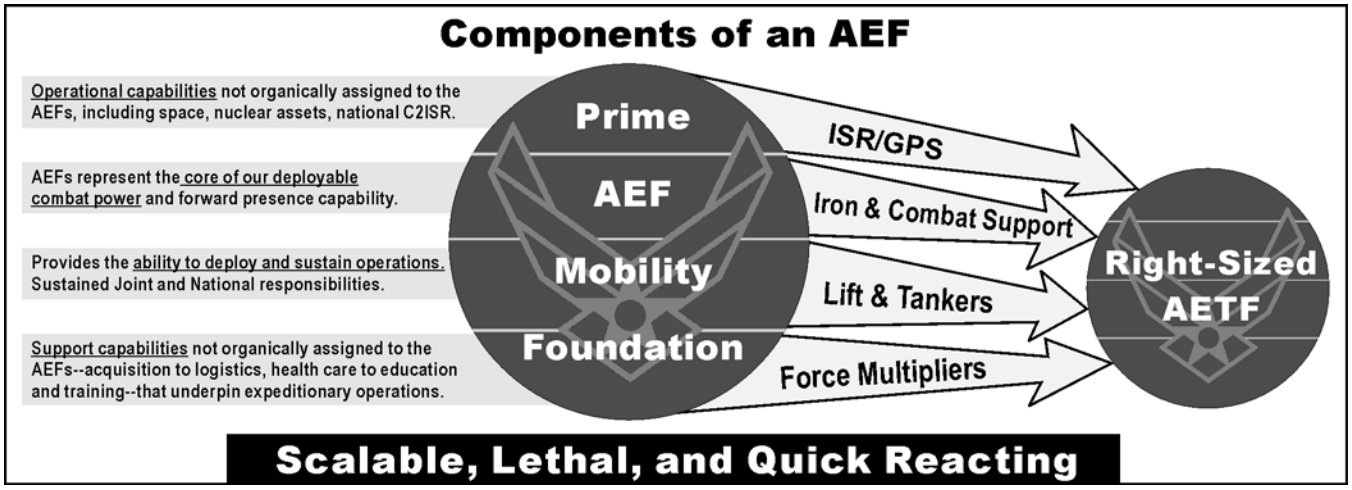


Figure 1.6. Building a Task Force.



1.9. Conclusion.

The next two decades will present many unknowns. As Joint Vision 2020 suggests, the nation will face a wide range of challenges and opportunities. In an environment with an uncertain rhythm, the Air Force must be prepared to maintain its strategic and nuclear vigilance while sustaining peacetime operations, ensuring preparations for major theater war, and conducting the training necessary to prepare each new generation of airmen to lead. In a world that is globally connected, national security and international stability are vital foundations of America's prosperity. The Air Force will provide balanced air and space capabilities to the joint team meeting national security objectives and realizing the full-spectrum dominance envisioned by Joint Vision 2020.

Chapter 2

SENIOR NONCOMMISSIONED OFFICER (SNCO) PROMOTION PROGRAM

2.1. Overview:

2.1.1. Promotion to senior master sergeant (SMSgt) and chief master sergeant (CMSgt) is extremely competitive. Public law limits the top two enlisted grades to 3 percent of the enlisted end strength, not to exceed 1 percent for the grade of CMSgt. Thus, competition for the limited quota is tough, and relatively few people are promoted to the top two enlisted grades. The difference between being selected for promotion and being "passed over" may depend on ensuring the selection folder is accurate and complete, and individuals have the correct study reference materials and are ready to test.

2.1.2. The SNCO Promotion Program has changed very little over the years. It has proved to be a valid, reliable, and fair method of selecting our most deserving individuals for promotion to SMSgt and CMSgt. It is similar to the Weighted Airman Promotion System (WAPS) in its objective criteria (examination, enlisted performance reports [EPR], time in grade, time in service, and decorations points), but the similarities end when the promotion evaluation board is included. The promotion evaluation board goes through a complex process, using the "whole-person" concept to rate promotion-eligible MSgts and SMSgts.

2.1.3. This chapter begins by describing the individual's responsibilities before the promotion cycle. It describes the evaluation board composition, the promotion criteria the board considers, and the process the board uses to evaluate promotion records. Finally, it highlights supplemental promotion actions.

2.2. Individual Responsibility:

2.2.1. The importance of individual responsibility cannot be overemphasized. Each individual is responsible for ensuring he or she is properly identified as eligible. (See in AFI 36-2502, *Airman Promotion Program,* Table 2.1, for minimum eligibility requirements for promotion.) Eligibles should have the current study reference materials, know when the testing cycle starts, study and test when scheduled, and ensure the information in their selection folder at Headquarters, Air Force Personnel Center (HQ AFPC), is accurate and complete.

2.2.2. Eligibles for promotion to SMSgt and CMSgt should receive a data verification record (DVR) (Figure 2.1) in the form of a report on individual personnel (RIP). The DVR displays current career information as of the promotion eligibility cutoff date (PECD), some of which is included in the Senior NCO Evaluation Brief (Figure 2.2) reviewed by the evaluation board.

2.2.3. Along with reviewing the DVR, eligibles should review their AF Form 10, **Unit Personnel Record Group,** and SNCO selection folder to ensure data is accurate and appropriate documents are filed. Eligibles should notify their military personnel flight (MPF) of any errors. A copy of the SNCO selection folder may be obtained from HQ AFPC by written request.

2.3. Promotion Criteria:

2.3.1. Table 2.1 in this volume shows how to calculate weighted factors for SMSgt and CMSgt promotions. Table 13.2 in AFPAM 36-2241, Volume 1, shows the minimum eligibility requirements for promotion to SMSgt and CMSgt.

2.3.2. Persons being considered for promotion to CMSgt will compete for promotion in the chief enlisted manager (CEM) code of the control Air Force specialty code (CAFSC) they held as of the PECD. Personnel being considered for promotion to SMSgt will compete for promotion in the superintendent level of the CAFSC they held as of the PECD.

Figure 2.1. Senior NCO Promotion Data Verification Record (DVR).

SENIOR NCO PROMOTION DATA VERIFICATION RECORD

WEIGHABLE FOR CYCLE 03E9

ELIGIBILITY CUTOFF DATE IS: 030731

SMS MARTIN, SUSIE B SSAN: 123456789
OP0RF8P3 607 COMBAT COMM SQ

PROJ PAS: RNLTD:
OFF-SYM: SCM

DATE OF RANK: 020301

TAFMSD: 831007

PROJ RET/SEP DATE:

RETIREMENT REASON:

HIGH YEAR OF TENURE: 0910

CAFSC: 2E190

PROM TO AFSC: 2E0X0

DAFSC: 2E190

DUTY TITLE:
SUPERINTENDENT, COMBAT SYS FLT

ASG LEVEL: WING/BASE

EPR RATING AND CLOSE DATES

5B 030709	5B 020709	5B 010709
5B 000715	5B 990915	5B 980915

PROFESSIONAL MILITARY EDUCATION
TYPE

USAF SENIOR NCO ACADEMY
NCO ACADEMY

DECORATIONS

TYPE AWARD	NUMBER
BRONZE STAR	01
MERIT SVC MEDAL	01
AF COMM MEDAL	05
AF ACHVMT MDL	02

ACADEMIC EDUCATION

LEVEL		SPECIALTY
HIGHEST	AWD BACHELORS DEGREE	ELECTRICAL ENGINEERING
2ND HIGH:	AWD ASSOCIATE DEGREE	ELECTRONIC SYS TECHNOLOGY
3RD HIGH:	30-59 SH OR 45-89 QH	BUS ADM

CONDITIONS CAUSING THIS RECORD TO BE NONWEIGHABLE:

THE INFORMATION REFLECTED ON THIS DVR WILL BE USED IN THE PROMOTION PROCESS FOR THE CYCLE INDICATED. REVIEW THIS DATA IN DETAIL, ESPECIALLY YOUR DECORATIONS, PME, AND EDUCATION DATA AND RETAIN FOR YOUR PERSONAL RECORDS. INFORMATION REFLECTED IS AS OF THE PROMOTION ELIGIBILITY CUTOFF DATE (PECD), EXCEPT A PROJECTED RETIREMENT DATE WILL CONTINUE TO BE UPDATED UNTIL THE ACTUAL PROMOTION BRIEF IS PRODUCED (ABOUT 30-45 DAYS PRIOR TO THE BOARD). FOR THE WEIGHTED PORTION OF YOUR SCORE, ONLY PERFORMANCE REPORTS FOR 5 YEARS (MAX OF 10) THAT CLOSE OUT ON OR BEFORE PECD ARE USED. THE EVALUATION BOARD REVIEWS ALL REPORTS CLOSING OUT UP TO 10 YEARS PRIOR TO PECD. ANY ADDITIONAL REPORTS ARE LISTED FOR INFORMATION ONLY. IF YOU DETECT ANY ERRORS, ARE LISTED AS 'NONWEIGHABLE,' OR HAVE ANY QUESTIONS, CONTACT YOUR CUSTOMER SERVICE CENTER OR PERSONNEL REPRESENTATIVE IMMEDIATELY. YOUR PERSONAL INVOLVEMENT IS A MUST - - IT'S YOUR PROMOTION!

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Figure 2.2. Senior NCO Evaluation Brief.

SENIOR NCO EVALUATION BRIEF

BRD NR: 07440.00 **CYCLE: 04E8**

NAME: SMITH, JOHN A. **SSAN: 987654321**

********** AFSC DATA ********** ********** GRADE DATA*********

CONTROL AFSC: 2A671A **GRADE: MSG**
PROMOTION AFSC: 2A6X1 **DOR: 01 OCT 1998**

************************************ SERVICE DATA ***

TAFMSD: 22 JAN 1981
HIGH YEAR TENURE: 01 JAN 2005
PROJ RET DATE:
RET REASON:

************************************ DUTY DATA ***

DAFSC: 2A691 **DUTY TITLE: AIRCRAFT PROPULSION SUPERINTENDENT**
DUTY LEVEL: W/B **UNIT: 0050 AIRLIFT SQ**
LITTLE ROCK AFB AR

******************************SENIOR NCO ACADEMY*************************************

SNCOA COMPLETED: YES

************************************ ACADEMIC EDUCATION *************************************

LEVEL	SPECIALTY
****LESS 4YR COLLEGE**	**BUSINESS/MANAGEMENT**
****ASSOCIATE DEGREE**	**ACFT MAINT TECHNOLOGY**
****LESS 2YR COLLEGE**	**BUS ADM, AERO/AVIA MGT**

************************************ DECORATIONS ***

TYPE	NBR	CLOSE DATE	REASON
MERIT SVC MED	**3**	**15 MAY 1998**	**EXT**
AF COMM MED	**2**	**01 JUN 1996**	**PCS**
AF ACHIEV MED	**1**	**24 AUG 2000**	**ACH**

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****These are examples of possible education level entries. Contact the education office to determine academic education level (hours or degrees) authorized.**

Table 2.1. Calculating Points and Factors for SMSgt and CMSgt Promotions.

RULE	A If the factor is	B then the maximum score is
1	USAFSE	100 points. Base individual score on percentage correct (note 1).
2	TIS	25 points. Credit one-twelfth point for each month of TAFMS, up to 25 years, computed as of the last day of the cycle (note 1).
3	TIG	60 points. Credit one-half point for each month in current grade based on DOR up to 10 years, computed as of the first day of the last month of the cycle (note 1).
4	Decorations/ Awards	25 points. Assign each decoration a point value based on its order of precedence as follows (note 2): Medal of Honor: 15 AF, Navy, or Distinguished Service Cross: 11 Defense Distinguished Service Medal, Distinguished Service Medal, Silver Star: 9 Legion of Merit, Defense Superior Service Medal, Distinguished Flying Cross: 7 Airman, Soldier, Navy-Marine Corps, or Coast Guard Bronze Star, Defense/Meritorious Service Medals, Purple Heart: 5 Air, Aerial Achievement, Air Force Commendation, Army Commendation, Navy-Marine Corps Commendation, Joint Services Commendation, or Coast Guard Commendation Medal: 3 Recruiter Ribbon: 2 (note 4) Navy-Marine Corps Achievement, Coast Guard Achievement, Air Force Achievement, Army Achievement, or Joint Service Achievement Medal: 1
5	EPRs	135 points. Multiply each EPR rating that closed out within 5 years immediately preceding the PECD (not to exceed 10 reports) by the time-weighted factor for that specific report. The time-weighted factor begins with 50 for the most recent report and decreases in increments of 5 (50-45-40-35-30-25-20-15-10-5) for each report on file. Multiply that product by the EPR conversion factor of 27. Repeat this step for each report. After calculating each report, add the total value of each report for a sum. Divide that sum by the sum of the time-weighted factors added together for the promotion performance factor; for example, 126.60 (notes 1 and 3). ***Example:*** EPR string (most recent to oldest): 5B-4B-5B-5B-5B-4B 5 x 50 = 250 x 27 = 6,750 4 x 45 = 180 x 27 = 4,860 5 x 40 = 200 x 27 = 5,400 28,485 ÷ 225 = 126.60 5 x 35 = 175 x 27 = 4,725 5 x 30 = 150 x 27 = 4,050 4 x 25 = 100 x 27 = 2,700 225 28,485

NOTES:

1. Cut off scores after the second decimal place. Do not use the third decimal place to round up or down.
2. The decoration closeout date must be on or before the PECD. The "prepared" date of the DECOR 6, Recommendation for Decoration Printout, must be before the date AFPC made the selections for promotion. Fully document resubmitted decorations (downgraded, lost, etc.) and verify they were placed into official channels before the selection date.
3. Do not count nonevaluated periods of performance (break in service, report removed through appeal process, etc.) in the computation. For example, compute an EPR string of 4B, XB, 5B, 4B the same as an EPR string of 4B, 5B, 4B.
4. Individuals performing duty in the 8R000 AFSC on 21 Jun 00 or later who have accrued 36 months in that duty and are certified by their Recruiting Service commander are entitled to 2 WAPS points. The points will count toward promotion when the 36-month certification date is on or before the PECD. The two points remain a weighted factor for all future promotion cycles regardless of AFSC. No additional points are awarded for additional years/tours served in special duty identifier (SDI) 8R000.

2.3.3. The board considers academic education completed on or before the PECD. Up to three academic education levels can be reflected on the Senior NCO Evaluation Brief. When the academic education level is updated in the Personnel Data System (PDS), the promotion file is updated and a new DVR and evaluation brief is produced to reflect the change. If Community College of the Air Force (CCAF), or any other accredited college requirements were completed before the PECD but the evaluation was completed within 30 days of the board convening date, the education services office will update the PDS and notify HQ AFPC by message with an information copy to the individual's MPF. This information is then used to post the Senior NCO Evaluation Brief filed in the SNCO selection folder.

2.3.4. The PECD is used to determine content of the selection folder and information on promotion evaluation briefs. The number of EPRs included is limited to those reports closed out 10 years before the PECD. However, only the last 5 years (maximum of 10 EPRs) are used to compute the EPR weighted factor score. Approved decorations, resubmissions, or decorations being upgraded must be submitted and placed into official channels before the selection date. The data shown on the Senior NCO Evaluation Brief includes the member's name, social security number, grade, date of rank, Air Force specialty information, service dates (to include projected retirement date), academic education level, decorations, duty information, and professional military education (PME).

2.4. Evaluation Board.

The evaluation board is very important because it accounts for over half the total score. Understanding how board members are selected, the evaluation board process, and those areas considered by board members can provide valuable insight into what it takes to get promoted.

2.4.1. Selection of Board Members.

The number of eligible personnel identified by MAJCOM and Air Force specialty codes (AFSC) determines the number and career field backgrounds of the board members. Board members are divided into panels, each consisting of one colonel and two CMSgts. The board president is always a general officer. Before evaluating records, board members are briefed on the task objective, eligible population profile, and selection folder content. Board members are then sworn to complete the board's task without prejudice or partiality. They also participate in an extensive trial-run process to ensure scoring consistency before evaluating any "live" records.

2.4.2. Areas the Board Considers.

The board looks at performance, education, breadth of experience, job responsibility, professional competence, specific achievements, and leadership. In each area, the individual has control over the information the board reviews. Individuals therefore, not board members, are responsible for their own promotions by ensuring the board receives the most current updates.

2.4.2.1. Performance. The evaluation board reviews all EPRs for the 10 years preceding the PECD. The board members consider all aspects of the EPR—job description (key duties, tasks, and responsibilities), individual rating factors, periods of supervision, overall evaluations, levels of endorsements, and each narrative word picture. If the person is a strong performer, the EPRs should convey to the board that he or she has demonstrated the highest qualities required of a leader and manager.

2.4.2.2. Education. Although the Air Force does not require enlisted members to have any education beyond high school, many enlisted members are pursuing postsecondary education. When considering educational opportunities, enlisted members should focus on a degree program that complements their career field and enhances their ability to do their job. When the board evaluates academic education as part of the whole-person assessment, the most important consideration should be the degree to which the education enhances the NCO's potential to serve in the next higher grade.

2.4.2.3. Breadth of Experience. This factor refers to the individual's overall professional background, experience, and knowledge gained during his or her career to date. Board members consider knowledge and practical experience in areas other than the current AFSC. If the eligible individual remained in one career field, board members consider whether he or she had wide exposure across the career field. Board members also consider potential to fill other types of jobs, as well as supervisory and managerial experience.

2.4.2.4. Job Responsibility. This factor does not refer entirely to the career field's command level positions, although experience at this level is a consideration. Many base-level jobs demand just as much of an individual as jobs at higher command levels. Consideration is primarily given to what was asked of the individual and how well the individual accomplished the task. Did the job require significant decisions, or was it a job in which the individual routinely carried out the decisions of others? Is the individual a proven, effective manager, responsible for directing the work of others, or is the person responsible only for his or her own performance?

2.4.2.5. Professional Competence. What do rating and endorsing officials say about the individual's expertise? Is it truly outstanding? How much does the individual know about the job, and how well does he or she accomplish it? The Air Force Chief of Staff has emphasized the need for careful selection of individuals for promotion to the top two NCO grades. Therefore, those selected must be the best qualified. They must have sufficient leadership and managerial experience to prepare them for the challenges they, and the Air Force, face.

2.4.2.6. Specific Achievements. These are often recognized in the form of awards and decorations. However, many other significant accomplishments are often addressed in the EPR's narrative comments. Such recognition, either in the form of decorations or narrative comments, can help board members identify the truly outstanding performer.

2.4.2.7. Leadership. Board members use their judgment, expertise, and maturity when reviewing records to assess a SNCO's potential to serve in a higher grade. In particular, board members evaluate leadership potential. How well does he or she manage, lead and interact with peers and subordinates? What have rating officials said about the person's leadership qualities and potential? What haven't they said?

2.5. Evaluation Process:

2.5.1. Trial Run.

As previously mentioned, board members are given two selected sets of records to score as a practice exercise before the actual scoring process. Using the whole-person concept, they score the records using secret ballots. This process helps establish a scoring standard they can apply consistently throughout the board process.

2.5.2. Scoring:

2.5.2.1. After the trial run is completed and discussed, panels begin the actual scoring of live records. The same panel evaluates all eligibles competing in a CEM code or AFSC. Each panel member scores each record, using a 6- to 10-point scale using half-point increments. An individual's record may receive a panel composite score (three members) from a minimum of 18 (6-6-6) to a maximum of 30 (10-10-10) points. The composite score (18 to 30 points) is later multiplied by a factor of 15, resulting in a total board score (270 to 450). Using a secret ballot, panel members score the record individually with no discussion. Records are given to each panel member in a stack of 20; and after they are scored, the ballots are given directly to a recorder. This ensures each panel member has scored each record independently.

2.5.2.2. A record scored with a difference of more than 1 point between any of the panel members (for example, 8.5, 8.0, and 7.0) is termed a split vote and is returned to the panel for resolution. At this point, all panel members may discuss the record openly among themselves. This allows them to state why they scored the record as they did. Only panel members who caused the split may change their scores. If panel members cannot come to an agreement on the split vote, they give the record to the board president for resolution. This ensures consistency of scoring and eliminates the possibility that one panel member will have a major impact (positive or negative) on an individual's board score.

2.5.2.3. Actual scores will vary between panels; the specific reason why certain panels scored the way they did cannot be determined because this is a subjective decision. However, because a single panel reviews each CEM code or AFSC, all records within a CEM code or AFSC are evaluated under the same standard. Some panels may award high scores, while others may award low ones. Therefore, whether a panel scores "easy" or "hard" is not significant. The important part of the final board score is how one eligible compares to his or her peers in the final order of merit. This allows each eligible to see how competitive he or she was.

2.5.2.4. Because each board is completely independent, board members do not know how an individual scored or ranked during the previous cycle. Each board arrives at its own scoring standard. However, as long as everyone competing in a CEM code or AFSC is looked at under the same standard, fair and equitable consideration is ensured. A number of factors affects board scores from year to year—new panel members with different thought processes, previous eligibles with changed or improved records, and a large pool of new eligibles. As a result, it is not uncommon for board scores to vary (often significantly) from one board to the next.

2.5.2.5. Board members do not have access to the weighted scores of individuals competing for promotion. Their primary concern is to align all eligibles in a relative order of merit, based on their panel score, within their CEM code or AFSC. When board members leave, they do not know who was selected. They only know they have reviewed and scored each record within the standard that evolved from the trial run.

2.5.3. Not Fully Qualified (NFQ) Process:

2.5.3.1. A process associated with enlisted promotion boards often misunderstood is the NFQ process. As previously stated, SNCO Evaluation Board members use the whole-person concept to align eligibles in a relative order of merit within their CEM code or AFSC based on the quality of each eligible's SNCO evaluation record. Also, board members are formally charged to ensure individuals are not only best qualified, but also fully qualified to assume the responsibility of the next higher grade.

2.5.3.2. If the board determines an individual is NFQ based on an evaluation of the record, the individual is rendered NFQ for promotion. In this case, HQ AFPC removes the individual from promotion consideration and deactivates his or her promotion record, rendering the individual ineligible for promotion. The parent MAJCOM and MPF are then notified of the board's decision in writing. The parent MAJCOM must immediately notify the individual through the unit commander. The board is not allowed to disclose the exact rationale for its findings. However, factors contributing to the decision can be as general as an overall noncompetitive record when compared to peers or as specific as a demonstrated substandard performance and disciplinary problems. In any event, the member is ineligible for that cycle.

2.5.4. Post-Board Processing.

After the board is finished, the weighted factor scores are combined with the board scores. This completely electronic operation builds an order of merit listing by total score within each CEM code or AFSC, and the overall promotion quota is then applied to each list. After the selection results are approved, the data is transmitted to the MPF. Questions regarding the SMSgt and CMSgt promotion selection process should be directed to the MPF's career enhancement office.

2.5.5. Score Notice.

All eligible personnel receive a score notice. This notice is a report of how eligibles compared to their peers in their CEM code or AFSC in the specific promotion cycle. To determine weak areas, individuals can also compare their scores with the promotion statistics available in the MPF and/or posted on the Internet via the virtual Military Personnel Flight (vMPF). Personnel can access the vMPF through the AFPC web site at **www.afpc.randolph.af.mil.**

2.6. Supplemental Promotion Actions:

2.6.1. Reviewing the DVR and SNCO selection folder and taking prompt action to correct any errors provides the evaluation board the most accurate career assessment. However, in case of data errors or omissions, supplemental promotion consideration *may* be granted. Supplemental consideration is *not* granted if the error or omission appeared on the DVR or in the unit personnel record group (UPRG) and appropriate corrective and followup action was not taken before the board met.

2.6.2. Table 2.2 provides specific information concerning supplemental consideration. Requests for supplemental consideration are submitted in writing containing the unit commander's recommendation and processed through the MPF. In addition, the MPF can answer questions about the DVR, which may eliminate the need for supplemental consideration.

Table 2.2. Reasons for Supplemental Consideration by the SNCO Promotion Evaluation Board. (note 1)

RULE	A If the item is	B and correction is to	C then consideration by the supplemental evaluation board is
1	PME (note 2)	and the SNCO or NCO Academy course	authorized.
2	EPR	add, remove, or make a significant change	
3	Academic education	show increased academic level (note 3)	
		correct academic specialty (note 3)	
		change year of completion	not authorized.
4	Decoration	add a decoration citation. (This is not authorized if the citation or order was filed or if the decoration was listed on the brief used by the board.) (note 3)	authorized.
5	Projected retirement data (individuals who were eligible and considered by original board)	delete a projected retirement that is not valid at the time the board met	
		delete a projected retirement that was valid when the board convened, but was later withdrawn	not authorized.
		change the projected retirement date	
6	Any eligibility factor	render an airman eligible (as of the PECD) who was erroneously ineligible when the board convened	authorized.
7	Projected HYT date (for individuals who were ineligible because of an HYT date and not considered by the original board)	show approved extension of HYT date (and reason is best interest of the Air Force)	

NOTES:
1. Do not allow supplemental consideration for airmen needing more than the maximum board score (450 points) for selection.
2. Give credit if the airman takes the course examination (CE) on or before the PECD and successfully completes the course, even if this CE is not scored until after the PECD. The Military Personnel Data System (MilPDS) will not change; only the individual's promotion record. ***NOTE:*** Effective cycles 95E9 to 98E9/97E8 to 98E8, PME was masked on the Senior NCO Evaluation Brief and WAPS points were not awarded.
3. Prior to rescoring the record, panel members consider the type of error, degree of impact on the promotion score, and the points needed for selection. Records the panel considers, but chooses not to rescore, are nonselectees.

2.7. Conclusion.

An individual's responsibilities toward promotion eligibility and preparedness cannot be overemphasized. Each eligible must be prepared to test when the time comes and take all necessary actions to ensure his or her DVR, UPRG, and SNCO selection folder contain correct and up-to-date information. Thus, enlisted members themselves play the largest role in their own promotions, and they are also key team members in their subordinates' promotions. Supervisors must help subordinates lay the groundwork for promotion.

Chapter 3

LEADERSHIP AND MANAGEMENT

Section 3A—Overview

3.1. Introduction.

Upon entering the Air Force, members take an oath signifying their personal commitment to support and defend the Constitution of the United States, and a commitment and willingness to lead for the duration of their Air Force careers. Implied in this oath is the responsibility to do their duty and lead others in the exercise of this duty. The oath is a solemn promise to do one's duty and meet one's responsibilities. Every airman is a leader, and truly effective leaders are also good managers. A leader can be a security forces senior airman (SrA) riding patrol, a pilot flying a mission, or a joint force air component commander planning an air operation. SNCOs play an important role since they often serve as first-line and work center supervisors directing personnel and managing resources while setting an example for less experienced airmen and noncommissioned officers (NCO). This chapter covers leadership and management concepts from a SNCO perspective. Information in Section 3B includes the foundations of Air Force leadership, leadership style, Air Force leadership principles, and leadership outside the command structure. Section 3C includes general guidelines on leadership and situational leadership. Finally, Section 3D contains information on managing personnel, decisionmaking, personal time management, and delegating.

Section 3B—Leadership Doctrine

3.2. The Foundations of Air Force Leadership.

To be effective leaders in the Air Force, members must have an understanding of airpower and how it applies to the mission and the people. Air and space doctrine and the tenets of air and space power form the basis, but how they are applied to the situation define leadership. SNCOs must understand the technical aspects of applying air and space power against a target and grasp a broader comprehension of these truths as they relate to responsibility and authority. The tenets of air and space power provide specific considerations for applying force against threats. On the surface, these tenets reflect specific air and space operation lessons over the history of powered flight and highlight the way the Air Force differs from other military forces. Beyond this, however, the tenets shape the way leaders direct the men and women under their charge. For example, centralized control and decentralized execution are a tenet of air and space power that allows commanders to set priorities that ensure their units achieve their stated mission. Through centralized control, commanders provide coherent guidance and organization, as well as maintain the ability to focus their units' energies. Decentralized execution means the commander delegates execution authority to responsible and capable lower-echelon commanders or supervisors, often NCOs. This willingness to entrust subordinates with mission execution is essential if commanders are to effectively supervise their personnel, foster initiative, and be flexible and responsive to different situations. This makes every NCO a leader and mandates the use of good leadership techniques and professionalism at all levels.

3.3. Leadership Style.

Leadership is an art, and SNCOs must work to perfect this art by developing a leadership style that capitalizes on their particular individual strengths. While one may exhibit a personalized leadership style, leaders in general must be flexible because methods, ideas, or techniques effective in one situation may not be effective in another. Any member of the Air Force may find himself or herself in a leadership situation or position at any time as a result of experience, seniority, promotion, or a sudden catastrophic event. Regardless of the situation, good leaders are adaptable, balancing their units' needs while remaining focused on mission success. Leaders prepare for challenges through their career-long study and application of the art of leadership. Successful military leaders generally exhibit common character traits and embrace tried and true leadership principles. All SNCOs must strive to develop and hone their skills, build on expertise in their specialties, learn from others' experiences, study military history, and observe their environment. Throughout their careers, they read, observe others' actions, solicit advice, and become attuned to the myriad of social, economic, and political factors that shape the Air Force and the world. Finally, Air Force leaders embrace the Air Force core values of *integrity first, service before self, and excellence in all we do.*

3.4. Air Force Leadership Principles.

The leadership principles are guidelines that have been tested and proven over the years by successful leaders and they reflect and expand upon the core values and are applicable to all airmen. Together, the principles and core values form the bedrock of the Air Force culture. Every airman plays an important role in sustaining this culture. The Air Force requires every airman to reflect these values, traits, and principles at every level when performing the Air Force mission—success in war and peace depends upon it. An Air Force leader is flexible enough to meet changing circumstances, competent enough to perform under adverse conditions, courageous enough to lead at the risk of life or career, and honest enough to stand on principle and to do what is right. The following key principles of leadership help achieve these and other more mission-specific goals.

3.4.1. Take Care of People.

People are the Air Force's most valuable resource. The time and effort a leader spends taking care of subordinates and coworkers will be amply rewarded in increased unit morale, effectiveness, and cohesion. Leaders should encourage all unit members to reach their maximum potential, increasing their value to their units and the Air Force. An effective and thorough effort to resolve individual and family issues frees airmen to achieve their full potential.

Retention is a direct reflection of Leadership.

Anonymous

3.4.2. Motivate People.

A leader's challenge is often motivating others to set and achieve high standards. The ability to generate enthusiasm about the mission may be the single most important factor in leadership. The best way for leaders to do this is to demonstrate enthusiasm about the mission and to frequently communicate this enthusiasm to their followers.

Learn to obey before you command.

Solon
Athenian Philosopher

3.4.3. Be a Follower.

The Air Force expects all of its leaders to first be followers. Airmen observe their leaders and take from them successful traits while avoiding those traits that are counterproductive. Good followers also understand and take personal pride in their contribution to the total mission; they have the strength of character to be gratified by the collective pride in a team effort without seeking individual reward. Effective followers have the strength of character to flourish without seeking "hero" status. Effective followers also share a number of essential qualities:

3.4.3.1. They manage themselves well.

3.4.3.2. They are committed to the organization and to a purpose, principle, or person outside themselves.

3.4.3.3. They build their competence and focus their efforts on maximum impact.

3.4.3.4. They are courageous, honest, and credible.

3.4.4. Know the Job.

Airmen will follow a knowledgeable and competent person. Part of a leader's responsibility is to ensure subordinates know their jobs. The Air Force leader must have a broad view of the mission and should ensure all members understand how each member's efforts contribute to mission accomplishment.

3.4.5. Know Yourself.

Successful leaders know their own strengths and weaknesses. They capitalize on their strengths by developing a leadership style that complements them. They must not, however, ignore their weaknesses. They must recognize them and strive to overcome them. Leaders select team members whose strengths compensate for their own weaknesses so that the collective efforts will get the task done.

3.4.6. Set the Example.

Leaders set a high standard for themselves and those around them. People will observe positive as well as negative characteristics and emulate them. Lack of self-discipline undermines a leader's authority, dilutes effectiveness, and ultimately impairs the ability to perform the unit's mission. Especially in the profession of arms, a leader's actions must be beyond reproach if he or she is to be trusted. Double standards and contradictory actions will permeate the entire organization. Regardless of how strongly leaders feel about themselves, it is the public perception of actions that counts in the end and becomes "reality."

3.4.7. Communicate.

Information flow should be unimpeded and two-way. Successful leaders listen to what people have to say and strive to keep all channels open. In particular, a leader must tactfully and clearly communicate ideas, participate in effective group decisionmaking, and be receptive to ideas for improving the unit and better accomplishing the mission.

3.4.8. Educate Yourself and Others.

Leaders look to mentor and train airmen to more effectively accomplish the mission. PME, professional development (for example, continuing civilian education), off-duty education, technical training schools, and on-the-job training are formal means airmen obtain training and education. Informal training, practice, and personal experience are crucial supplements to formal training. Greater efficiencies are possible with a highly trained and skilled force.

3.4.9. Equip Your Troops.

Good leaders ensure their troops have the right tools to perform the mission. Proper tools include equipment or facilities that aid mission accomplishment. Occasionally, needed tools are not available, or not available in enough quantity, despite best efforts to obtain them. In these situations, a good leader solicits possible solutions and works to develop a creative alternative. A well-equipped force can capitalize on its extensive training and may require fewer personnel or less time to accomplish its mission.

3.4.10. Accept Responsibility.

Leaders are responsible for performing the mission. If successful, the unit deserves praise; if the mission is a failure, the leader is accountable for the consequences. Unwillingness to accept responsibility destroys credibility as a leader and breaks the bond of trust, respect, and loyalty vital to teamwork.

3.4.11. Develop Teamwork.

A good leader works to build airmen into a cohesive team that works together to accomplish the mission. Leaders cannot accomplish the mission alone, and it is impossible for followers to accomplish the entire mission while working alone. Only a true team can accomplish the mission and avoid the trap where only one person is capable of accomplishing one aspect of the mission.

3.4.12. Read, Study, Watch, and Prepare.

The day will come when an airman looks around for the leader and finds it is he or she. The Air Force cannot tolerate an ill-prepared person in a leadership position. It is a privilege to lead others, but every airman must be prepared to take the reins of leadership. While the Air Force provides many opportunities to increase leadership knowledge and develop leadership skills, each individual is ultimately responsible for obtaining

the necessary knowledge and skills through whatever means available—written material, on- and off-duty education, training, and mentoring.

3.5. Leadership Outside the Command Structure.

A leader does not need to be a commander. Leadership exists both inside and outside the formal command structure of a military organization. A civilian or military supervisor, an airman in a two-person shop, or a newly commissioned lieutenant can be a leader. Rank and status do not always confer leadership. Thus, while not every airman is eligible to command in the strict sense of the word, all airmen have the opportunity and responsibility to lead. Every organization has a formal leader, and most also have informal leaders. Informal leaders influence others' opinions and are the ones most sought after for information and advice. Sometimes SNCOs are the informal leaders. Sometimes more junior-ranking airmen are. SNCOs should know who the informal leaders are and tap into their informal communication channels by communicating with them frequently. Likewise, informal leaders need to make sure they are good followers as their influence may be more powerful than that of the formal leader.

Section 3C—Everyday Leadership

3.6. Leadership and Management.

Although leadership and management are different, one is not necessarily better than the other, nor is one a replacement for the other. Rather, leadership and management are two distinct and complementary systems of action. Each has its own function and characteristic activities. Both are necessary for success in an increasingly complex environment. Leadership is about coping with change; management is about coping with complexity. Many organizations are overmanaged and underled. Successful organizations actively seek out personnel and develop them for leadership. But, while improving the ability to lead, strong leadership with weak management is no better and is sometimes actually worse than the reverse. The challenge is to combine strong leadership with strong management and use each to complement the other. The following are a few key qualities of successful leadership:

3.6.1. Leader Traits.

Leaders are people who know who they are and where they are going. Leaders must be self-reliant and have great tenacity and stamina. The world moves by enthusiastic people. Optimism and high motivation count for a lot. Leaders who possess these traits can lift organizations. The single biggest factor is motivating or liberating would-be leaders in their attitude toward themselves and toward their responsibility to others. Leaders also have to understand the situation. Before they can decide where to go, they must decide where they are. After this comes commitment to something larger and longer term than just their ego. People can achieve meaning in their lives when they can give as well as take from their society. Failure to set priorities and develop significant personal purpose undermines nearly any capacity for leadership.

3.6.2. Set Priorities and Mobilize Energies.

Leaders focus on the higher aspirations and needs of their followers. Effective leaders thrive in an age of uncertainty. Priorities have to be set and decisions made even though all of the information is not available. The information revolution has tremendously enlarged both the opportunities and the frustrations for leaders. Knowing what you don't know becomes as important as knowing what you do know. A willingness to experiment and explore possible strategies even in the face of uncertainty may become a more pronounced characteristic of the creative leader. The ability to look at an object differently and reach out for more and better advice is crucial. The ability to admit error and learn from mistakes is also vitally important. Leaders need to be able to discover their own strengths and the strengths of those with whom they work. They have to learn to share and to delegate. They have to convince people that they are important and that what they are doing is useful and important.

3.6.3. Take Risks.

Leaders have to provide risk-taking, entrepreneurial imagination. Leaders are able to see things in a different and fresh context. Leaders relook situations and challenges and come up with new approaches, insights, and solutions. Leaders get organizations interested in what they are going to become, not what they have been. Leaders must be creative and openminded. An essential aspect of creative leadership is curiosity. Creative leadership requires not being afraid to fail.

3.6.4. Sense of Humor, Proportion, and Compassion.

Leaders take their work seriously but do not take themselves too seriously. Humor relieves strain and enables people to relax and see things in a slightly different or fresh light. Effective leaders can usually tell a joke, take a joke, and/or tell a good story. They also usually know the art of telling parables. In this same light, leaders need to be able to share credit. Leadership sometimes consists of emphasizing the dignity of others and of keeping one's own sense of importance from becoming inflated. President Dwight D. Eisenhower said, "*There's no telling how much one can accomplish so long as one doesn't need to get all the credit for it.*" Thus, leaders need to have a sense of proportion and a sense of detachment. They must avoid being workaholics and recognize that they will have to be followers in most of the enterprises in life and leaders only a small fraction of the time. Compassion is also required of the leader. The leader must be able to understand emotions and passion and, at least on occasion, express himself or herself with passion and conviction. Enthusiasm, hope, vitality, and energy are crucial to radiating confidence.

3.6.5. Skilled Mediators and Negotiators.

Leaders have to be skilled mediators and negotiators, but they also have to be able to stir things up and encourage healthy and desired conflict. The strength of leaders often lies in their tenacity, in knowing how to deal with competing factions, knowing when to compromise, when to amplify conflict, and when to move an organization away from paralyzing divisiveness and toward a vision of the common good. Truly effective leaders welcome several kinds of conflict and view conflict as an opportunity for change or revitalization. Stirring things up is often a prerequisite for social, economic, and bureaucratic breakthrough. Minority rights, consumer protection, tax reform movements, and election campaigns are occasions for division and conflict. They are realities leaders have to learn to accept, understand, and turn to their advantage.

3.6.6. Brains and Breadth.

The leader has to have brains and breadth. Today's leaders must widen their perspectives and lengthen the focal point of their thinking. Leaders have to learn how to thread or weave together disparate parts and move beyond analytical to integrative thinking. This requires well-read, well-traveled persons who can transcend their specialties and their professions.

3.6.7. Additional Qualities of Leadership:

3.6.7.1. Self-knowledge and self-confidence.

3.6.7.2. Intelligence, wisdom, and judgment.

3.6.7.3. World-mindedness and a sense of history.

3.6.7.4. Character, integrity, and intellectual honesty.

3.6.7.5. Ability to communicate, persuade, and listen.

3.6.7.6. Understanding of the nature of power and authority.

3.7. Situational Approach to Leadership:

3.7.1. Concept.

Leadership style is the way a leader or manager coaches or works with someone. It's how the leader or manager behaves, over time, when he or she is trying to influence the performance of others. A situational leader changes his or her style depending on the person he or she is working with and on the situation.

3.7.2. Situational Leadership Skills.

Situational leadership requires three skills: diagnosis, flexibility, and partnering. The leader must learn how to diagnose the needs of the people; learn to use a variety of leadership styles flexibly; and must come to an agreement with his or her people about the leadership style he or she needs. A leader is flexible and is able to

use four different leadership styles: directing, coaching, supporting, and delegating. The four styles consist of different combinations of two basic leadership behaviors a leader can use when trying to influence others.

3.7.2.1. Leadership Behaviors:

3.7.2.1.1. Directive Behavior. This behavior involves clearly telling people what to do, how to do it, when to do it, and then closely monitoring their performance. Four words that define directive behavior are structure, organize, teach, and supervise.

3.7.2.1.2. Supporting Behavior. This behavior involves listening to people, providing support and encouragement for their efforts, and then facilitating their involvement in problem solving and decisionmaking. Words that describe supportive behavior include praise, listen, ask, explain, and facilitate.

3.7.2.2. The Four Basic Leadership Styles. Four basic leadership styles exist; however, no one leadership style is better than the others. The following provides information on the different styles:

3.7.2.2.1. Directing. The leader provides specific direction and closely monitors task accomplishment.

3.7.2.2.2. Coaching. The leader continues to direct and closely monitor task accomplishment but also explains decisions, solicits suggestions, and supports progress.

3.7.2.2.3. Supporting. The leader facilitates and supports people's efforts toward accomplishing tasks and shares responsibility for decisionmaking with them.

3.7.2.2.4. Delegating. The leader turns over responsibility for decisionmaking and problem solving to the people.

3.7.2.3. Competence and Commitment Levels. A leader must diagnose each subordinate's past performance before using a particular leadership style; and, in examining performance, the leader must look at two factors that determine a person's performance or achievement: competence and commitment. Competence is a function of knowledge and skills, which can be gained from education, training, and/or experience. Commitment is a combination of confidence (a measure of a person's self-assuredness—a feeling of being able to do a task well without much supervision) and motivation (a person's interest in and enthusiasm for doing a task well).

3.7.2.3.1. Low Competence—Low Commitment. New airmen or civilian workers are often not competent at this point. They may be willing to learn, but are also somewhat apprehensive because their job knowledge is lacking. An effective leader will provide these individuals with clear and specific directions and close supervision. They need to be told what, how, when, and where to do their various jobs. Even an experienced worker can be in this category if the job changes or a task is added.

3.7.2.3.2. Low Competence—High Commitment. As subordinates learn more about the job, they become partially competent. They are then able to engage in more detailed two-way communication with the leader. Additionally, the leader may find workers who have retrained into a new specialty or who have taken on more responsibility and are excited to learn, but lack all the skills necessary for the new job or responsibility. An effective leader will provide these individuals direction and support (direction to help them become competent, and support to maintain their confidence and enthusiasm and to engage in two-way communication). The leader's directive behavior addresses the follower's lack of competence in particular tasks.

3.7.2.3.3. High Competence—Low Commitment. Other subordinates are competent, but sometimes apprehensive. This can be especially true for inexperienced supervisors who may fluctuate between feeling effective and ineffective. The leader must support and encourage these individuals by expressing a belief in their ability to get the job done. In this case, the leader's supportive behavior addresses the follower's lack of commitment.

3.7.2.3.4. High Competence—High Commitment. Subordinates who are both competent and committed to their jobs fall in this category. They know what to do and are enthusiastic about doing it. These are the individuals the leader tasks to develop or implement new procedures, informing the leader only of their

progress. Projects may be delegated to them, and they should be allowed to make the decisions that will ensure task accomplishment. Low-supportive and low-directive behavior is appropriate because followers are both committed to and competent on the task.

Section 3D—Management

Leadership versus Management:

Leaders do the right thing, while managers do things right.

Warren Bennis

3.8. Managing Personnel.

The human factor is crucial to success in team management. Few "people problems" can be solved quickly; some are totally beyond control and can only be contained. However, managers do have influence over many factors that affect their personnel. Managers can only underestimate the impact they have upon the group's effectiveness. Team managers and leaders have the authority to sanction, encourage, or restrict most aspects of their subordinates' working day; this places managers in a position of power and responsibility. Motivation and team building are two key tools a manager can use to bring people together and accomplish the mission.

3.8.1. Motivation.

Motivation is not something that happens overnight. It is part of the total workplace environment and takes time. Therefore, it is important to take the long-term view when considering motivation. Managers need a sustainable approach to maintain enthusiasm and commitment from their subordinates. Fredrick Herzberg undertook classic work on motivation in the 1950s when he formulated the "motivation-hygiene" theory. Herzberg identified several factors, such as salary levels, working conditions, and company policy, that demotivated when they were absent or of poor quality and that satisfied when they were present and of good quality. He called these factors *hygiene factors* because they are needed just to maintain satisfaction (hygiene) in the workplace. Herzberg also identified some factors he called *motivators* because they do more than just provide satisfaction or dissatisfaction—they can motivate. These motivators are things such as achievement, recognition, the work itself, responsibility, and advancement. Herzberg's ideas are still applicable today. The following paragraphs discuss each of these motivators and the role managers need to play to establish a motivational environment:

3.8.1.1. Achievement. Managers set the targets (goals and objectives). In doing so, they have a dramatic effect upon the team's sense of achievement. If the targets are too hard, the team will feel failure; if too easy, the team feels unfulfilled. Ideally, managers provide a series of targets that are easily recognized as stages toward the ultimate task completion. Thus, progress is punctuated and celebrated with small, but marked, achievements. Good managers continuously challenge their staff and, in doing so, ensure the staff knows that the manager knows they can meet the challenge.

3.8.1.2. Recognition. Recognition is about feeling appreciated. It is knowing the whole team, including the manager, acknowledges what is done. In opposite terms, if people do something well and then feel it is ignored, they may not bother to do it so well the next time (because "no one cares"). The feedback given to the team is fundamental to its motivation. People should know what they do well (be positive), what needs improving (be constructive), and what is expected of them in the future (something to aim for). Subordinates need to know where they stand and how they are performing against the supervisor's expectations. Supervisors can achieve this through a structured review system. The best time to give feedback is when the event occurs. Also, feedback has the greatest impact when it is honest, simple, and constructive.

3.8.1.3. The Work Itself. The work should be interesting and challenging. Unfortunately, few managers have only interesting, challenging work to distribute; the boring and mundane work is always there. Thus, a manager's challenge is to first make sure everyone (including the manager) has a share of the interesting and the dull. This is helped by the fact that what is dull to some may be new and fascinating to others. Managers should match tasks to people and possibly share the worst tasks. For instance, taking minutes in meetings is dull on a weekly basis, but quite interesting or educational once every 6 weeks (and also heightens a sense of

responsibility). Second, if the task is dull, perhaps the person given the task can change the way the task is completed. This turns dull into challenging, adds responsibility, and may even improve team efficiency.

3.8.1.4. Responsibility. Of all of Herzberg's positive motivators, responsibility is the most lasting. One reason is that gaining responsibility is itself seen as an advancement that gives rise to a sense of achievement and can improve the work itself—a motivation multiplier! Assigning responsibility is a difficult task because, no matter what happens, the manager ultimately remains accountable.

3.8.1.5. Advancement. Two types of advancement are: the long-term issues of promotion, salary raises, and job prospects; and the short-term issues of increased responsibility, the acquisition of new skills, and broader experience. Although managers may not have complete control over the long-term issues, they do exercise a great deal of control over the short-term. Subordinates often seek the long-term, while successful managers provide the short-term and must convince the subordinates these are necessary steps for the long-term advancement they seek. The manager must design the work assignment so each member of the team feels "I'm learning, I'm progressing."

3.8.2. Team Building/Group Development.

Groups form a basic unit of work activity; yet the underlying process is poorly managed. When people work in groups, two quite separate issues are involved. The first is the task and the problems involved in getting the job done. Frequently, this is the only issue the group considers. The second is the process of the group work itself—the mechanisms by which the group acts as a unit. However, without due attention to this process, the value of the group can be diminished or even destroyed; yet, with a little explicit management of the process, it can enhance the worth of the group to be many times the sum of the worth of its individuals. It is this synergy that makes group work attractive in organizations despite the possible problems (and time spent) in group formation. The key is that the group should be viewed as an important resource whose maintenance must be managed just like any other resource and that this management should be undertaken by the group itself so that it forms a normal part of the group's activities.

3.8.2.1. What Is a Group? A group of people working in the same room, or even on a common project, does not necessarily invoke the group process. If the group is managed in a totally autocratic manner, there may be little opportunity for interaction relating to the work; if the group factions, the process may never evolve. On the other hand, the group process may be used by normally distant individuals working on different projects. In simple terms, the group process leads to a spirit of cooperation, coordination, and commonly understood procedures and ways. If this is present within a group of people, then their performance will be enhanced by their mutual support (both practical and moral).

3.8.2.2. Why a Group?

3.8.2.2.1. Groups are particularly good at combining talents and providing innovative solutions to possible unfamiliar problems. In cases where there is no well-established approach or procedure, the wider skill and knowledge set of the group has a distinct advantage over that of the individual. In general, however, an overriding advantage in a group-based workforce that makes it attractive to management is that it engenders a fuller utilization of the workforce. A group can be seen as a self-managing unit. The range of skills provided by its members and the self-monitoring each group performs make it a reasonably safe recipient for delegated responsibility. Even if a single person could decide a problem, there are two main benefits in involving the people who will carry out the decision. First, the motivational aspect of participating in the decision will clearly enhance its implementation. Second, there may be factors that the implementer understands better than the single person who could supposedly have decided alone. More indirectly, if the lowest echelons of the workforce each become trained, through participation in group decisionmaking, in an understanding of the organization's objectives and work practices, then each will be better able to solve work-related problems in general. Further, they will also individually become a safe recipient for delegated authority.

3.8.2.2.2. From the individual's point of view, there is the added incentive that, through belonging to a group, each person can participate in achievements well beyond his or her own individual potential. Less idealistically, the group provides an environment where the individual's self-perceived level of responsibility and authority is enhanced, in an environment where accountability is shared; thus providing a perfect motivator through enhanced self-esteem coupled with low stress.

3.8.2.3. Group Development. The development of a group is commonly viewed as having four stages: forming, storming, norming, and performing.

3.8.2.3.1. Forming. Forming is the stage when the group first comes together. Everybody is very polite and very dull. Conflict is seldom voiced directly and is mainly personal and therefore destructive, if voiced at all. Because the grouping is new, the individuals are usually guarded in their own opinions and generally reserved. This is particularly so in terms of the more nervous and/or subordinate members. The group tends to defer to a large extent to those who emerge as leaders.

3.8.2.3.2. Storming. The next stage is storming—when tempers break loose and the leaders are lynched. Factions form, personalities clash, and no one concedes a single point without first fighting tooth and nail. Most importantly, very little communication occurs because no one is listening. Some are still unwilling to talk openly. True, this battleground may seem a little extreme for some groups, but beneath the veil of civility are seething sarcasm, invectives, and innuendos.

3.8.2.3.3. Norming. At this stage, subgroups begin to recognize the merits of working together, and the in-fighting subsides. A new spirit of cooperation is evident; members begin to feel secure in discussing their own views openly with the whole group. The most significant improvement is that people start to listen to each other. Work methods become established and recognized by the group as a whole.

3.8.2.3.4. Performing. This is the culmination, when the group has settled on a system that allows free and frank exchange of views and a high degree of support by the group for each other and its own decisions. In terms of performance, the group starts at a level slightly below the sum of the individuals' levels and then drops abruptly to its lowest point until it climbs during norming to a new level of performing that is well above the start. It is this elevated level of performance that is the main justification for using the group process rather than a simple group of staff.

3.8.2.4. Group Skills. The group process is a series of changes that occur as a group of individuals form into a cohesive and effective operating unit. If the process is understood, it can be accelerated. Two main sets of skills a group must acquire are managerial skills and interpersonal skills. The acceleration of the group process is simply the accelerated acquisition of these skills. As a self-managing unit, a group has to undertake most of the functions of a group leader collectively. For instance, meetings must be organized, budgets decided, strategic planning undertaken, goals set, performance monitored, and schedules reviewed. It is a fallacy to expect an individual to suddenly assume managerial responsibility without assistance; in the group, it is even more so. Even if there are practiced managers in the group, they must first agree on a method and then convince and train the remainder of the group. As a collection of people, a group needs to relearn some basic manners and people-management skills and how to enforce these manners without destructive confrontation.

3.8.2.5. Accelerating Group Development. A common practice in accelerating group development is to appoint and, if necessary, train a "group facilitator." This person's role is to continually draw the group's attention to the group process and to suggest structures and practices to support and enhance the group skills. This must be only a short-term training strategy; however, the existence of a single facilitator may prevent the group from assuming collective responsibility for the group process. The aim of any group should be facilitation performed by every member equally and constantly. If this responsibility is recognized and undertaken from the beginning by all, then the storming phase may be avoided and the group development can pass straight into norming. The following suggestions can help group formation (although groups tend to work toward their own practices and norms):

3.8.2.5.1. Focus. To accelerate group development, focus should be on the group and the task. If something is to be decided, the group should decide it. If there is a problem, the group solves it. If a member is performing badly, the group must ask for change. If individual conflicts arise, the group should review them in terms of the task. If there is initially a lack of structure and purpose in the deliberations, the group should impose both in terms of the task. Disputes between alternative courses of action should be negotiated in terms of the task.

3.8.2.5.2. Clarification. In any project management, the clarity of the specification is of paramount importance in group work—exponentially so. The first responsibility of the group is to clarify its own task

and to record this understanding so it can be constantly seen. This mission statement may be revised or replaced, but it should always act as a focus for the group's deliberations and actions.

3.8.2.5.3. The Mouse and the Loudmouth. In any group, there is always the quiet one in the corner who doesn't say much. This individual is the most underutilized resource in the whole group and so represents the best return for minimal effort by the group as a whole. It is the responsibility of this individual to speak out and to contribute. The group must encourage and develop this person by including him or her in the discussion and actions and providing positive reinforcement each time this happens. In any group, there is also a dominant member whose opinions form a disproportionate share of the discussion. Each individual must consider whether he or she is this person. The group must ask whether the loudmouth may like to summarize briefly and then ask for other views.

3.8.2.5.4. The Written Record. Often a decision that is not recorded will become clouded and have to be discussed again. This can be avoided simply by recording the decision. A good technique is to use a large display where the group can clearly see each decision as it is made. Displaying the decision also ensures that it is expressed in a clear and concise form.

3.8.2.5.5. Feedback. All criticism must be neutral—focused on the task and not the personality. It is wise to adopt the policy of giving feedback frequently, especially for small things; this can be couched as mutual coaching, and it reduces the destructive impact of criticism when things go wrong. Every criticism must be accompanied by a positive suggestion for improvement. If anyone does something well, it should be praised. Praise reinforces commendable actions and mollifies the negative feedback that may come later. Progress in the task should also be emphasized.

3.8.2.5.6. Handling Failure. The long-term success of a group depends on how it deals with failure. A very common tendency is to brush off failure and get on with the next stage with no more than a mention of the failure—this is a very foolish tendency. Failure should be explored by the group. This is not to attribute blame for this is shared by the whole group as an individual only acts with delegated responsibility, but rather to examine the causes and to devise a mechanism to either monitor against or prevent repetition. A mistake should only happen once if it is treated correctly.

3.8.2.5.7. Handling Deadlock. If two opposing points of view are held in the group, then some action must be taken. Several possible strategies exist. Each subgroup could debate from the other subgroup's view to better understand it. Common ground could be emphasized, and the differences viewed for a possible middle or alternative strategy. Each could be debated in the light of the original task. But the group should first decide how much time the debate actually merits and then guillotine it after this time. Then, if the issue is not critical, toss a coin.

3.9. Decisionmaking.

The methods we choose for making complex decisions have much to do with the success of these decisions. Are some methods more effective than others, and in which situations are they most beneficial? Four approaches to defense decisionmaking—procedure, experience, analysis, and rational—follow. The approaches are not mutually exclusive. The skillful decision maker selects the method best suited to the problem and often blends techniques together.

3.9.1. Procedure-based Decisionmaking:

3.9.1.1. We are all familiar with doing it "by the book." Procedure-based decisionmaking relies upon a body of explicit instructions for guidance in choosing a course of action. The instructions may be standard operating procedures; checklists; tactics, techniques, and procedures; doctrine; manuals; and laws or regulations. At its heart, procedure-based decisionmaking consists of pattern matching. As we encounter a problem, we compare it with similar problems. When we find a good match, we apply the solution, detailed in procedures, that we were trained to apply.

3.9.1.2. Procedure-based decisionmaking has several strengths. First, this approach allows many individuals to benefit from the best knowledge available without having to repeat the mistakes of others who encountered the same problem in the past. At their best, these procedures are the distilled wisdom of intelligent and careful people who have systematically arrived at optimal solutions. Second, this technique introduces predictability and uniformity into the way a large organization deals with standard recurring

problems and that, in turn, increases the coherence and focus of the organization. Third, this approach permits us to make complex decisions rapidly when constrained by time. Finally, by relying on procedures, we do not need to seek specialists for a particular type of problem every time such a problem arises.

3.9.1.3. Procedure-based decisionmaking is most effective when applied to problems that arise repeatedly in more or less the same form, when the time to decide is short, and when the desire to ensure a uniform response is high. Nuclear engineers and pilots use checklists because avoiding even small omissions or deviations is important. The military also relies heavily on procedures in combat, where time pressures for decisions are extreme and coordination among units requires mutually predictable behavior and responses to problems. The fundamental purpose of combat training and doctrine, at the individual and small-unit levels, is to ingrain individuals with a set of reflexes designed to enable them to recognize different types of combat problems and to react appropriately and predictably under even the most exceptional conditions.

3.9.1.4. A fundamental weakness of procedure-based decisionmaking is its requirement for problems that can be easily categorized and its need for a body of relevant and effective guidance to solve each problem. The decision has to be foreseen or experienced by the creators of the procedures. As long as each decision situation encountered is close enough to one of those addressed in the procedures, we can effectively rely on them. But what happens when the decision is sufficiently different or so complex that it becomes difficult to know which procedure to use, or whether any of the procedures is truly applicable? The more senior a leader becomes, the more likely it is that the complex problems requiring his or her attention will be new or unique and fall beyond the kernel of procedure-based decisionmaking. Taking the problem a step further, what happens when an individual in the habit of relying on procedures addresses all problems using procedures? As the old saw says, “To a man with a hammer, every problem looks like a nail.” When a decision fits into the space covered by procedures, procedure-based decisionmaking is effective; however, the more the problem involves nonstandard factors and issues, the less likely it will be resolved by procedure-based decisionmaking.

3.9.2. Experience-based Decisionmaking:

3.9.2.1. Relying on experience is a powerful methodology for making decisions when used properly. By experience, we mean the aggregate of what an individual has learned from dealing with problems and making decisions in the past. Viewed this way, experience falls into one of two categories: (1) memories of actual events and (2) rules of thumb, judgments, and intuitions that represent the lessons learned from living through events. Some of these lessons are quite explicit because an individual can explain what he or she thinks and why. Other lessons are more subtle or tacit. Individuals may not know exactly why they feel as they do, even though they are confident they know how to deal with the situation. We often refer to this as intuition or, perhaps, instinct.

3.9.2.2. As in procedure-based decisionmaking, pattern matching is essential to experience-based decisionmaking. But, rather than relying on recognizing templates learned by rote, individuals compare the problem to similar problems solved before. If they find a good match, they apply the same solution that worked previously. Usually this process takes place very rapidly, often intuitively. If someone asks them why they made a particular decision, they may not be able to answer clearly because they are not fully aware how they found a match.

3.9.2.3. This type of decisionmaking is most valuable and successful when the decision maker has a broad range of relevant experiences and there is not very much time to make a decision. A more experienced decision maker will make better decisions, as long as there is a match between personal experience and the problem. Numerous studies confirm the relationship between experience and skill. For example, a pilot’s skill correlates with his or her experience measured in flight hours. The leader should give substantial weight to his or her experiences and that of others. This includes listening carefully to intuition and the other subtle forms that valuable experience-based judgments can take.

3.9.2.4. At the same time, leaders must exercise care because experience-based decisionmaking can be misleading for several reasons. First, just as when they apply procedures, they may not know whether their experiences are applicable to the current decision. What may seem at first to be a familiar type of problem may turn out to be quite different from anything experienced. Leaders can compound the error of misrecognition if they take so much pride in their experiences that they are reluctant to acknowledge that their experiences may not be relevant. Experience, and the judgment stemming from experience, can be a

source of self-esteem and authority. Leaders may be reluctant to surrender this authority by acknowledging that a decision is entirely new. In these situations, leaders may be tempted to stretch their experiences to make them fit the current problem, resulting in poor decisionmaking.

3.9.2.5. Second, individuals have difficulty accepting that some experiences, once a source of effective decisionmaking, have become obsolete. The half-life of an experience can be short, particularly in a time of rapid technological and international change. Similarly, experience from earlier periods may not help us resolve contemporary personnel issues pertaining to gender, race, operational tempo, childcare, and spouses' careers.

3.9.2.6. Third, even if the experiences are relevant and current, the leader may distort his or her memories of these experiences and, therefore, the lessons from them, in significant ways. This phenomenon is because individuals perceive experiences through five fallible senses and memories of events, which may not be accurate even initially, that change dramatically over time.

3.9.2.7. Experience is one of the most important sources of good decisionmaking as long as the leader is aware of its pitfalls and is humble about the human frailties he or she cannot fully escape. How is the leader to exercise this care? The key is to treat experience and lessons learned as one source of data or evidence to bring to bear on a decision, along with all of the other useful information from other sources.

3.9.3. Analysis-based Decisionmaking:

3.9.3.1. So how does the leader approach complex, unfamiliar decisions without a pattern to follow? Analytical decisionmaking involves carefully taking a problem apart, collecting and testing the evidence needed, then comparing and selecting an alternative. Analysis-based decisionmaking is generally comprised of the following steps:

3.9.3.1.1. Define the problem and the decision maker's objectives.

3.9.3.1.2. Select criteria that capture the most important aspects of the problem.

3.9.3.1.3. Identify alternatives for solving the problem.

3.9.3.1.4. Evaluate the alternatives using the criteria.

3.9.3.1.5. Identify the consequences of each alternative.

3.9.3.1.6. Assess the risks and uncertainties entailed by these consequences.

3.9.3.1.7. Identify the alternative, within the resources available, that performs best.

3.9.3.2. Although there is a series of steps, decisionmaking must never become a rigid set of techniques or a simple checklist. The leader must flexibly apply the approach. A decision may not exactly conform to the steps described above, but the leader should consider each step before discarding any of them. Above all, analysis-based decisionmaking requires that the leader conscientiously cultivate the intellectual habits of objectivity, explicitness, clarity, sufficiency, and skepticism. Sufficiency means that there is enough information to decide. Skepticism means that throughout decisionmaking, the leader continuously asks if what he or she thinks is true or false and why.

3.9.3.3. The strength of analysis-based decisionmaking is that it enables decision makers to go beyond the limits of procedure and experience. The very act of structuring a problem often provides clarity. Analysis-based decisionmaking allows the leader to deal with complex problems systematically in a stepwise fashion, with each step made explicit and examined separately as a comprehensible part of the whole. The structuring inherent in analysis-based decisionmaking permits the leader and others to retrace the steps—an additional precaution against mistakes of various kinds. During analysis-based decisionmaking, the leader gathers and weighs information to determine what is reliable and useful and what is not.

3.9.3.4. As with the other methods, analysis-based decisionmaking has important weaknesses. First, the process requires time to gather, assess, and interpret information. The time needed may not be great, but

some time will always be involved. Therefore, when a decision is needed very quickly, reflexively, as in close combat, the formal analysis-based approach may not be appropriate, even though analytical decisionmaking may have been used to design the procedures and equipment upon which individuals in time-critical situations rely. Second, analysis-based decisionmaking requires key information be available about a decision. Virtually all decisions contain some risk, and analysis-based decisionmaking can be very useful in identifying its sources and implications. But what happens if the decision is dominated by risks? Analysis-based decisionmaking is inadequate for these kinds of decisions. The prudent decision maker will instead carefully rely on experience, judgment, intuition, and luck. This said, it is all too easy to jump to the conclusion that a particular decision is dominated by risk and to discard analysis-based decisionmaking. In the great majority of cases, however, information is available.

3.9.3.5. Third, leaders use analysis-based decisionmaking most appropriately to decide among different alternatives to reach a goal. Analytical decisionmaking is less useful when deciding what goal to seek because most goals involve value judgments. For example, what role should the United States play in the world? How much emphasis should the United States place on military operations in its foreign policy? These are critical questions, and analysis can help to address the underlying issues they raise and demonstrate some of their costs and benefits. But at the point where the consideration of values begins to dominate, analytical decisionmaking becomes artificial. These decisions require a moral and ethical judgment. There are also weaknesses that have more to do with the decision maker than with the analytical approach per se. Analysis-based decisionmaking is frequently misapplied, or, even if properly applied, poorly executed. Over-reliance on quantitative methods is a good example. Many decisions resist quantitative analysis, although they still can benefit from good qualitative thinking. *Esprit de corps* may be best evaluated qualitatively rather than quantitatively, yet many, even experienced professional analysts, are tempted to impose quantitative analysis on such issues.

3.9.3.6. Finally, analysis-based decisionmaking is most likely to go wrong when it is not tailored to the problem. The method of attacking any problem must be driven entirely by the requirements and character of the problem. Analytical decisionmaking is not a substitute for experience, professional judgment, and intuition.

3.9.4. Rational Decisionmaking.

Rational decisionmaking is a combination of experienced-based and analysis-based decisionmaking. Used together, experience and analysis are the two most powerful techniques for decisionmaking, and their connection is often synergistic. Analysis allows the leader to address unfamiliar areas, while experience informs analysis. Experience, judgment, and intuition, therefore, should be coupled with analysis-based decisionmaking, each making the others stronger, more useful, and more practical. By deciding rationally, the leader subjects experience, professional judgment, intuition, and analysis, along with all other sources of information, to agreed-upon standards of rigor, soundness, and explicitness. Thus, by advocating rational decisionmaking, the leader is encouraged to apply a careful combination of experience-based and analysis-based decisionmaking procedures to solve complex problems, recognizing the strengths and weaknesses of each while remembering that their mix varies with each decision.

3.10. Personal Time Management.

Personal time management is about controlling the use of the most valuable (and undervalued) resource—time. Last-minute rushes to meet deadlines, meetings that are either double booked or achieve nothing, days that seem somehow to slip unproductively by, and crises that loom unexpectedly from nowhere all characterize problems with time management. This sort of environment leads to inordinate stress and performance degradation. Personal time management is a management process; therefore, it must be planned, monitored, and regularly reviewed. A discussion on basic time management tools follows:

3.10.1. Analyze the Present.

Before attempting to change the future, it is worth considering the present. Keep a note of how you spend time for a week. Create a simple table, photocopy half-a-dozen copies, and carry it around with you, filling in a row every time you change activities. After a week, review the log. The first step is a critical appraisal of how you spent your time and a review of your habits. Identify time that may have been better used. Look at each work activity and decide objectively how much time each was worth, and compare this with the time

actually spent. Specifically, if you have a task to do, decide beforehand how long it should take and work to this deadline—then move on to the next task.

3.10.2. Time Wasters.

There are various sources of waste. The most common are social—telephone calls, friends dropping by, and coffee-machine conversations. The log will show if waste is a problem. Another common source of waste stems from delaying unpleasant work by finding less important or unproductive distractions. Check the log to see if any tasks are being delayed simply because they are dull or difficult. Time is often wasted in changing between activities. For this reason, it is useful to group similar tasks together, thus avoiding the startup delay of each. The log will show where these savings can be made. Initiate a routine that deals with these on a fixed, but regular, basis.

3.10.3. Doing Subordinate's Work or the Work of Others.

Often it is simpler to just do the task. However, if a subordinate can do the task, use the next occasion to start training. Obviously, the subordinate will still need to be monitored, but monitoring consumes far less time than doing the task. A major impact on anyone's workday can be the tendency to help others do their work. In the spirit of an open and harmonious work environment, it is obviously desirable that everyone help each other; however, check the log and decide how much time you should spend on your own work and how much time you can afford to spend on the work of others.

3.10.4. Control Appointments.

The next stage of personal time management is to take control of appointments. Appointments constitute interaction with other people. They are the agreed-upon interface between your activities and those of others, and are determined by external obligation. Start with a simple appointment diary. List all appointments, including regular or recurring ones. Now, be ruthless and eliminate the unnecessary. There may be committees where you cannot productively contribute or where a subordinate may be able to participate. Eliminate the waste of your time.

3.10.5. Add Productive Activities.

The next step is to build in activity that enhances the use of your available time. Consider activities that save time and allocate time to save time. Most importantly, always allocate time for time management—at least 5 minutes every day.

3.10.6. Save Time Through Preparation.

Consider what actions may be taken to ensure no time is wasted. Plan to avoid work by being prepared. If attending a meeting where you will be asked to comment on some report, allocate time to read it, thus avoiding delays in the meeting and increasing the opportunity for the right decision the first time. Consider what actions need to be done before and what actions must be done to follow up. Even if the followup actions are unclear before the event, allocate time to review the outcome and plan the resulting action. When the time comes, follow through.

3.10.7. Deadlines and Suspenses.

The most daunting external appointments are deadlines, often the handover of deliverables. Is there a final panic toward the end? Are the last few hectic hours often marred by errors? If so, use personal time management. Check the specifications when receiving the task. Break down the task into small sections, estimate the time needed for each, set milestones, and schedule progress reviews. If possible, allow sufficient time to rework projects if you receive new directions or changes to the original specifications. In a more positive sense, deadlines frame what needs to be done first or when.

3.11. Delegating:

3.11.1. The Objective.

The objective of delegation is to get the job done by someone else. That is, not just the simple tasks of reading instructions and turning a lever, but also the decisionmaking and changes that depend on new information. With delegation, subordinates have the authority to react to situations without referring back to the manager. Delegating can be used as a dynamic tool to motivate and train a team to realize their full potential. Delegation lives within a management style that allows subordinates to use and develop their skills and knowledge. Without delegation, the manager loses his or her subordinates' full value. Delegation is about entrusting authority to others. This means they can act and initiate independently, and assume responsibility with the manager for certain tasks. If something goes wrong, the manager remains accountable. The goal is to delegate in such a way that things get done correctly.

3.11.2. Information Exchange:

3.11.2.1. To enable others to do the job, the manager must ensure they know what is expected, have the authority to achieve it, and know how to do it. These all depend on communicating clearly the nature of the task, the extent of their discretion, and the sources of relevant information and knowledge. Such a system can only operate successfully if the newly assigned decision makers (the subordinates) have full and rapid access to relevant information.

3.11.2.2. An effective flow of information, consisting of regular exchanges between the manager and subordinates, must exist so that each is aware of what the others know and are doing. If a manager restricts access to information, then only he or she is able to make decisions. Some managers fear subordinates may challenge them or they will lose all control if the subordinates are informed and allowed to make decisions. The manager who recognizes that subordinates may have additional experience and knowledge (and so may enhance the decisionmaking process) welcomes subordinates' input. This manager trains subordinates to apply the same criteria as he or she would (by example and full explanations), then in practice, exercises control over more situations.

3.11.3. How To Delegate.

To understand delegation, think about people. Delegation cannot be viewed as an abstract technique; it depends on individuals and their needs. One approach is to delegate gradually. Gradually build up, first present a small task leading to a little development, then another small task that builds on the first. When this is achieved, add another stage, and so on. This is the difference between asking people to scale a sheer wall and providing them with a staircase. Each task delegated should have enough complexity to stretch the member a little further. When delegating, agree on the criteria and standards by which the outcome will be judged. With appropriate monitoring, mistakes can be caught before they are catastrophic.

3.11.4. What To Delegate:

3.11.4.1. The goal is to delegate as much as possible to develop subordinates into good managers. The starting point is to identify foundation activities performed by managers before they were promoted. Tasks in which the manager has experience are the easiest for them to train subordinates to take over. The manager uses his or her experience to ensure the task is done well, rather than to actually perform the task. The manager can then use his or her time to perform other duties while the subordinates develop their talents, those increasing the group strength.

3.11.4.2. Tasks in which the subordinate is more experienced should be delegated. Based on the subordinate's experience, the default decision should belong to him or her. A successful manager ensures time is spent explaining the decisions so he or she learns from the subordinate. Managers should distribute the more mundane tasks as evenly as possible and sprinkle the more exciting ones as widely. In general, but especially with the boring tasks, the manager should be careful to delegate both task performance and ownership. Task delegation, rather than task assignment, enables innovation.

3.11.4.3. Certain managerial functions should never be delegated. Specifically, they include motivating, team building, organizing, praising, reprimanding, and evaluating performance reviews.

3.11.5. Control.

Delegation is about handing over authority; therefore, the manager cannot dictate how this delegation is to be managed. To control the delegation, the manager establishes the reporting schedule, sources of information, the manager's availability, and the criteria of success. These issues should be negotiated with the subordinate. A workable procedure is possible only by obtaining the subordinate's input and agreement. Once tasks are delegated, the manager must monitor progress and continue to develop subordinates to help them exercise their authority.

3.12. Conclusion.

All Air Force members take an oath signifying their personal commitment and willingness to lead. Every airman is a leader, and truly effective leaders are also good managers. SNCOs play an important role because they often serve as first line and work center supervisors who direct personnel and manage resources while setting an example for less experienced airmen and NCOs. This chapter covered leadership and management concepts from a SNCO perspective: leadership doctrine; everyday leadership; and management. Leadership and management are fundamental to the Air Force. Applying these concepts will make SNCOs good leaders and managers, responsibilities inherent in their trusted positions.

Chapter 4

PROTOCOL FOR SPECIAL EVENTS

Section 4A—Overview

4.1. Protocol Defined.

By definition, protocol is the code of ceremonial forms and courtesies, of precedence, etc., accepted as proper and correct in official dealings . . . . This code helps direct the conduct of Air Force personnel during personal, national, and international affairs. Protocol has evolved gradually over centuries. Although there are generally accepted elements, units, bases, and MAJCOMs often modify protocol procedures to meet their special needs. Though only a guide, the information in this chapter can help you avoid protocol pitfalls.

Section 4B—Distinguished Visitors (DV)

4.2. DVs:

4.2.1. Many distinguished dignitaries—military and civilian, domestic and foreign—visit Air Force installations for festive occasions and official business. However, DoD officials and members of the Armed Forces are encouraged to decline routine honors unless they serve a useful purpose, such as improving morale or maintaining national prestige. Enlisted personnel are frequently appointed project NCO for a ceremony or an official social event or asked to escort a DV. AFR 900-6, *Honors and Ceremonies Accorded Distinguished Persons*, prescribes honors and appropriate ceremonial procedures and should be observed as closely as possible.

4.2.2. Project NCOs represent their organization and/or their base and are responsible for assisting DVs. A smooth visit often includes action before the visit. Contact guests beforehand to find out if they desire special arrangements. The base protocol office may also need to know guests' transportation needs. Other duties may include preregistering guests, meeting them upon arrival, and escorting them to their next destination.

4.2.3. Place a tentative itinerary and welcome package in the guest quarters. Include such items as a recent base newspaper, unit or base history, telephone numbers of base facilities, and maps of the base and local area. Also appropriate are biographies on the installation or host commander and command chief master sergeant (CCM), host PME commandants and program managers, and CMSgts and first sergeants (in the case of a senior enlisted DV, such as the Chief Master Sergeant of the Air Force [CMSAF]). Include instructions on operating difficult-to-use appliances or machines or using the telephone system in the guest quarters.

4.2.4. Give a thorough briefing to the guest speaker at a special function, such as a Dining-In. Guests may have several commitments other than the primary project. If so, make sure they have schedules that allow time for meetings, telephone calls, meals, changes of clothes, coffee breaks, occasional rest periods, and transportation.

4.2.5. Determine transportation time by physically traveling from place to place before the schedule is set. Allow extra time for boarding vehicles and transferring baggage. If there is a large official party, be sure to brief all drivers on the schedule and give explicit directions so they can operate independently if they become separated. Arrange the lodging checkout time and bill payment. Ensure flight lunches are available if the guests are leaving by military aircraft and they desire this service. Smooth visits can make a lasting positive impression. If you run into difficulty or have questions, do not hesitate to contact the base protocol office—the staff is there to help.

4.2.6. Protocol reflects mutual respect and consideration among all individuals—military or civilian. It is not an ornate show, but a spirit deeply rooted within military life. Knowing and using proper protocol can help ensure military functions are special for everyone.

Section 4C—Military Ceremonies

4.3. General Information.

The enlisted corps has a variety of programs to recognize individuals for outstanding performance, achievements, contributions, and promotions to the SNCO grades. AFI 36-2805, *Special Trophies and Awards,* provides information on a variety of programs, but it is not all inclusive. SNCOs should become familiar with the induction of newly

promoted MSgts into the "Top 3." They should also become familiar with the Order of the Sword Ceremony and retirement ceremonies.

4.4. Top 3 Induction:

4.4.1. Promotion to MSgt is a significant milestone in an enlisted member's career. A MSgt-select has demonstrated the capability for more responsibility and begins to climb the Top 3 ladder as a manager. Thus, it is proper to recognize and initiate a member into the Top 3 on selection for MSgt.

4.4.2. Most bases or units have an induction ceremony, but there are no established Air Force guidelines. Mementos, such as certificates or engraved plaques, may be presented to new MSgts to preserve the moment and recognize their accomplishments. Promoted SNCOs will surely face new challenges, and a formal induction into the Top 3 can help make them aware of their new obligations. CCMs and Top 3 associations can provide information on your base's Top 3 induction ceremony traditions. If your base or unit does not conduct a Top 3 induction ceremony, you should consider initiating this tradition.

4.5. Order of the Sword:

4.5.1. Background:

4.5.1.1. The Order of the Sword is patterned after an order of chivalry founded during the Middle Ages—the Swedish Royal Order of the Sword. The rank of NCO was established in the early 12th century. In 1522, Swedish King Gustavus I enjoined the noblemen commissioned by him to appoint officers to serve him. Those appointed were the accountants, builders, crafts people, teachers, scribes, and others conducting the daily kingdom affairs. The system worked so well it was incorporated into the Swedish Army as a way to establish and maintain a cohesive, disciplined, and well-trained force. This force ensured the protection of lives and property in the kingdom.

4.5.1.2. Ancient NCOs would honor their leader and pledge their loyalty by ceremoniously presenting him with a sword. The sword—a symbol of truth, justice, and power rightfully used—served as a token for all to see and know that here was a "leader among leaders." The ceremony became known as The Royal Order of the Sword. The first recorded use of it in America was in the 1860s when General Robert E. Lee was presented a sword by his command.

4.5.2. The Current Ceremony.

The Royal Order of the Sword ceremony was revised, updated, and adopted by Air Force NCOs in 1967. The Order of the Sword is the highest honor and tribute NCOs can bestow upon an individual.

4.5.3. Order of the Sword Committee.

Each MAJCOM, field operating agency (FOA), or direct reporting unit (DRU) establishes its own procedural guidelines. An Order of the Sword committee serves as the executive agent and is responsible for developing guidelines, nomination procedures, and ceremony protocol. The committee must also approve the nomination. The MAJCOM's CCM, known as the "keeper of the sword," usually chairs the committee. Membership may include, but is not limited to, all wing CCMs. Because procedures vary from command to command, information presented here is in very general terms.

4.5.4. Nomination and Selection.

NCOs wishing to nominate an individual for induction into the Order of the Sword should contact their CCM to determine processing procedures. (***NOTE:*** Do not inform the nominee of the possible induction.) The nomination folder should include a biographical sketch and complete rationale in the nomination. Ensure the nomination is thorough enough so the committee can carefully weigh the individual's merits. The MAJCOM CCM will inform the nominating organization of the decision and provide appropriate guidance and procedures as necessary.

4.5.5. Preparation for the Ceremony.

Once the nomination is approved, a hosting committee will form and begin planning the ceremony. Preparations required for the Order of the Sword ceremony are similar to those for the Dining-In discussed later in this chapter. Host NCOs are responsible for planning, executing, and paying for the ceremony. This includes the dinner, awards and presentations to be made to the honoree, ceremonial equipment (such as individual swords), and printed proclamations.

4.5.6. Induction Ceremony.

This evening affair usually consists of a social period, formal dinner, and induction ceremony. The required dress is the mess dress or semiformal uniform. The ceremony should be well rehearsed so it reflects formality, dignity, and prestige. Four key participants have speaking parts and other duties: the sergeant major, first sergeant, duty sergeant, and sergeant at arms. MAJCOM, FOA, and DRU directives provide specific guidance for NCOs serving in these positions.

4.5.7. Permanent Recognition in the Order of the Sword.

The CMSAF maintains the official list of Order of the Sword recipients. Each sponsoring command maintains a master sword designed for its ceremonies. This sword is on display at each command's headquarters. A nameplate commemorating the command's inductions is affixed to its command master sword.

Section 4D—Dining-In and Dining-Out

4.6. General Information:

4.6.1. The Dining-In and Dining-Out represent the most formal aspects of Air Force social life. It is important that SNCOs help plan and attend these functions for unit morale and cohesion. The Dining-In is a formal dinner for the military members of a wing, unit, or organization. The Dining-Out, on the other hand, is a newer custom which includes spouses and other guests but is otherwise very similar to the Dining-In. Although the term "Dining-In" is used throughout this section, most of the information also applies to the Dining-Out and Combat Dining-In.

4.6.2. The Combat Dining-In, the newest of the dining-in traditions, is becoming increasingly popular, especially in operational units. The format and sequence of events are built around the traditional Dining-In, but this function's far less formal atmosphere and combat dress requirements (flight suit, space and missile crew suits, battle dress uniforms) make it very appealing. A great deal is not written on the subject; the only limit seems to be that of the planning committee's imagination. For guidance or information on the Combat Dining-In, contact the local or MAJCOM protocol office.

4.7. History:

4.7.1. Formal military dinners are a tradition in all branches of the US Armed Forces. In the Air Force and Navy, it is the Dining-In; in the Army, it is the Regimental Dinner; and in the Marine Corps and Coast Guard, it is Mess Night. As with many traditions, the origin is not entirely clear.

4.7.2. Formal dinners are rooted in antiquity, a proud tradition honoring military victories and individual and unit achievements from pre-Christian Roman legions and second century Viking warlords to King Arthur's knights in the sixth century. Some military historians trace the origins of the Dining-In to the old English monasteries. Early universities adopted the custom and, eventually, the dinners were formalized by the military with the advent of the officers' mess. British soldiers brought the custom to colonial America where George Washington's Continental Army adopted it.

4.7.3. The Air Force Dining-In began in the 1930s with General Henry H. "Hap" Arnold's "wingdings." Close bonds enjoyed by Air Corps officers and their British Royal Air Force colleagues during WWII added to the American Dining-In tradition.

4.8. Purpose.

The primary purpose of the Dining-In is to enhance unit morale and esprit de corps. It gives members a chance to see how ceremony, custom, and tradition build these traits. It is also an appropriate setting for recognizing individual or unit awards and achievements. These dinners are occasions for the commander, unit officers, and NCOs to meet socially at a formal military function. This function enhances the esprit de corps of units, lightens the load of demanding day-to-day work, and enables members of all grades to create better working relations through an atmosphere of good comradeship. Success is achieved if members enjoy the evening and the ceremony is tasteful and dignified.

4.9. Attendance.

The commander decides if the Dining-In is voluntary or mandatory. Traditionally, attendance was mandatory. Some commanders still consider it mandatory (similar to a commander's call) to ensure all unit members participate in what should be an enjoyable occasion. However, most commanders prefer voluntary attendance because a mandate could dampen the enthusiasm of the members of the mess.

4.9.1. Members of the Mess.

Host-unit military members are the members of the mess. Military members assigned to other units, civilian employees, and spouses are not members of the mess and attend only as guests. The one big difference between a Dining-In and Dining-Out is that only the military members of a unit may attend a Dining-In.

4.9.2. Guests of the Mess.

There are two types of guests: official and personal.

4.9.2.1. Official guests are guests of the mess. The guest speaker is an official guest and sits at the head table with all of the other official guests. Normally, it is a good idea to limit the number of official guests because members of the mess share their expenses, and there is a limited number of seats at the head table.

4.9.2.2. Personal guests may be either military or civilian (Dining-Out only). They do not sit at the head table, and the members of the mess pay for their respective guests' expenses.

4.9.2.3. When a member of the mess invites a distinguished senior official from another unit or a civic leader, it is customary, although not mandatory, for the member to pay for the senior official's expenses. The planning committee should, however, provide an escort or host when protocol dictates.

4.10. Dress.

Officers wear the mess dress uniform. Enlisted members wear the mess dress uniform or the semiformal dress uniform. Civilian guests usually wear formal attire (black tie), but they may wear business attire. Retired military members may wear the mess dress or civilian attire. Be sure to clearly state the proper dress in the invitation.

4.11. Duties and Responsibilities of Key Players.

Four key players are involved in planning and conducting the Dining-In: the president of the mess, arrangements officer or NCO, escort officers or NCOs, and vice president. Duties and responsibilities of these key players are outlined in Figure 4.1 and as follows:

4.11.1. President of the Mess.

The president of the mess is usually the unit commander. The president has the overall responsibility for planning and executing the Dining-In and for setting the standards for members of the mess. As commander, he or she retains authority to control rowdy, boisterous, and improper behavior. The president may delegate duties to the arrangements officer or NCO who must then work closely with the president to ensure the success of the Dining-In. However, the president establishes the theme.

Figure 4.1. Duties and Responsibilities of Key Players.

Key Player	Duties and Responsibilities
President	• Oversee entire planning and execution of the Dining-In. • Appoint key players and committee members. • Invite appropriate guest speaker. • Arrange for chaplain to give the invocation. • Greet all guests before dinner. • Open and close the mess.
Arrangements Officer/NCO	• Publish a detailed agenda. • Prepare recommended guest list for the president. • Reproduce biographical sketches of guests, as required. • Arrange for a photographer if pictures are desired. • Brief senior Allied military member on the proper toasts. • Establish correct table and seating arrangements. • Arrange necessary name and organization cards. • Ensure flags are in place before the opening of the lounge. • Arrange for a lighted lectern and public address system. • Place dinner chimes at Mister or Madam Vice's location. • Ensure awards are on hand and in place.
Escort Officers/NCOs	• Contact the guest in advance to discuss aspects of the Dining-In. • Arrange for transportation and lodging, if necessary. • Meet and escort the guest to the Dining-In. • Introduce the guest to the president and other guests. • Ensure the guest is always in the company of several members of the mess. • Ensure individuals or groups do not monopolize the guest. • Escort the guest to the point of departure.
Vice President (Mister or Madam Vice)	• Prepare appropriate toasts as the president directs. • Compose poems and witticisms at the commander's discretion. • Open the lounge at the appointed time. • Sound the dinner chimes at the appropriate time.

4.11.2. Arrangements Officer or NCO:

4.11.2.1. The arrangements officer or NCO is directly responsible to the president for planning the Dining-In and attending to numerous details during the evening. The person serving in this position should be a top planner and supervisor. As the "architect," he or she is involved in every aspect of the event. The arrangements officer or NCO works closely with the president to determine the date, time, and location of the event and to identify and invite the guest speaker.

4.11.2.2. The arrangements officer or NCO is responsible for the menu, seating, decorations, music and entertainment, billing and reservations, invitations, and agenda but he or she should be careful not to make any final decisions on major aspects without consulting the president.

4.11.3. Escort Officers or NCOs.

The president should appoint one escort officer or NCO for each official and distinguished personal guest. The primary duty of the escort officer or NCO is to ensure all the necessary accommodations are made to help the guest enjoy the Dining-In. Figure 4.1 identifies these duties more specifically.

4.11.4. Vice President:

4.11.4.1. The vice president serves as the president's principal assistant and must be totally familiar with the customs and traditions of the mess. Although the vice president is usually the most junior member of the mess, the president may select another member to serve in this demanding position.

4.11.4.2. A successful evening often hinges on the vice president's imagination and humor. Essentially, as master or mistress of ceremonies, the vice president keeps the program moving and stimulates table conversation through his or her keen wit and impromptu speaking ability. "Mister or Madam Vice" traditionally sits alone at the back of the dining room, facing the president. This position allows the vice president to monitor the program flow and observe the proceedings, including rule violations and breaches in protocol and etiquette.

4.12. Planning the Dining-In:

4.12.1. Planning early is essential. It is not unusual to begin planning a Dining-In 90 days before the desired date. A specific guest speaker or location may require an even earlier start.

4.12.2. A motivated and dedicated planning committee is a must. The arrangements officer or NCO chairs the planning committee. Committee size generally depends on the size of the function. When possible, select experienced committee members. For example, someone with a finance background could handle the budget and billing, the public affairs officer or NCO could handle publicity and photography, and so forth. One member should be designated as a protocol officer or NCO, if only in an advisory capacity.

4.13. Planning Committee Tasks.

The planning committee has many tasks and details to handle. Many of the important issues, decisions, and tasks are as follows:

4.13.1. Date and Location:

4.13.1.1. The committee should first select a date and location for the Dining-In. Make sure the date does not conflict with military commitments, such as deployments, inspections, or other major base or community social functions. Informally check the availability of any guest speakers being considered.

4.13.1.2. Next, select a tentative location. An on-base site is preferred. Off-base sites present additional challenges. Make sure the prospective caterer is willing and able to meet the specifications and all provisions of the contract are spelled out (because it may hold whoever signs it as legally liable). Pay particular attention to cancellation clauses and cost factors, such as whether the quoted price includes tax and gratuity. Deadlines for guaranteed reservation numbers and cost of "no-shows" are other important contract considerations.

4.13.2. Guest Speaker:

4.13.2.1. Once the president approves the date and location, the next task is to invite the guest speaker. Traditionally, the speaker is a high-ranking military officer, CMSgt, or Government official. The arrangements officer or NCO usually prepares a letter invitation for the president's signature. The letter invitation should include the date and place of the function and describe the audience and other pertinent facts. It is also appropriate to suggest suitable topics and speech length. Most speakers center their speech on the function's theme.

4.13.2.2. Mail the invitation as soon as possible after setting the date. A good idea is to have an alternate speaker in mind just in case the speaker of choice cannot attend or must cancel.

4.13.3. Invitations and Placecards:

4.13.3.1. Send formal invitations in the name of the president to both official and personal guests. If the organization wants to extend invitations to senior officials such as the MAJCOM commander, CCM, or other officials, send invitations through command channels. Invitations to other DVs, such as the CMSAF, is a procedural matter set by the MAJCOM. Usually, members of the mess do not receive formal invitations.

4.13.3.2. Invitations may be engraved or commercially printed. Some organizations use a computer calligraphy font and print their invitations with a laser printer. Other organizations hand-write the information on fill-in-the-blank invitations. Unless invitations are readily available, order them well in advance and mail them at least 2 to 3 weeks before the Dining-In.

4.13.3.3. Placecards are only required at the head table. However, placecards at each setting are becoming increasingly popular. Based on the seating plan, use organizational identification cards, number cards, or both for all tables other than the head table. One card per table—uniform in size, color, and lettering—is appropriate. It is acceptable to use folded white 3- by 5-inch cards. Print each attendee's name on the card, using a black felt-tip pen so the name is easily readable in dim light. For multiple-word military titles, use only the conversational title; for example, "Lieutenant Colonel Jones" is written as "Colonel Jones."

4.13.4. Publicity.

Publicize the Dining-In to organizational members, especially junior members. Junior members may hesitate because they are unfamiliar with or fear the rules of the mess. Therefore, it is a good idea to send the rules of the mess out early to allow everyone time to get acquainted with them. Attendance will improve significantly if the organization is informed, involved, and at ease.

4.13.5. Music.

A military band or an ensemble, such as a choral group or string ensemble, is the best choice for music because it can fit nicely into the theme of a Dining-In. Schedule a band or one of its elements through the base public affairs office. Consider a taped program if a suitable band or ensemble is not available. However, no music is better than inappropriate music.

4.13.6. Menu:

4.13.6.1. The standard dinner includes salad, entree, and dessert. An appetizer and soup can be added. However, a larger menu means higher costs, and portions of large meals often go uneaten. When planning the menu, consider dietary restrictions for guests of honor or members of the mess or an alternate menu choice for vegetarians or anyone who prefers not to eat the main entree for any reason.

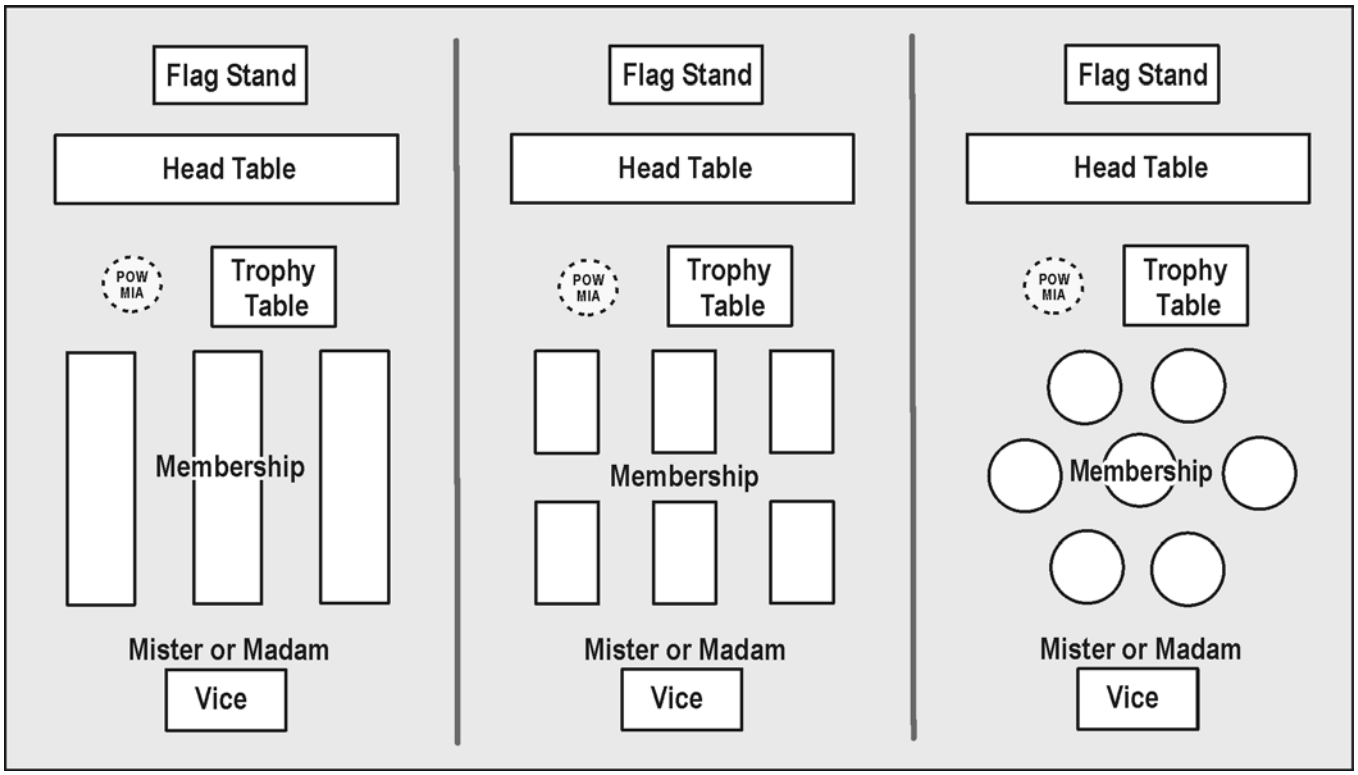
4.13.6.2. Wine, traditionally used in toasting, is an integral part of the Dining-In. Have the wine in decanters so the staff may serve it or simply place the decanters where the attendees may serve themselves. Water should also be available for those who do not wish to drink wine. Make sure refills of both wine and water are readily available.

4.13.7. Seating:

4.13.7.1. The planning committee establishes the seating arrangements with the reservation list. Three typical banquet style table arrangements are depicted in Figure 4.2. Enough space for easy passage is essential. The club may have seating formations to select for the number in your party. Although Mister or Madam Vice usually sits alone at the end of the room opposite the head table, convenience and physical layout of the facility may dictate seating the vice president at another location. In any event, ensure Mister or Madam Vice never sits near or at the head table.

4.13.7.2. Seating at the head table is strictly according to protocol, with the senior guest to the right of the president, the next senior person to the left of the president, and so forth. Usually, the senior guest is the guest speaker. However, if this is not the case, it is customary to informally ask the senior guest to give up the seat to the president's right to the guest speaker. Seat personal distinguished guests in the front seats of the other tables. Head-table seating for a Dining-Out, however, becomes more difficult because protocol dictates you use a man-woman alternating pattern within constraints. Seat each spouse in precedence according to his or her military member's grade. Spouses do not sit together, nor should two women sit together. The local or MAJCOM protocol office can provide advice on a variety of situations

Figure 4.2. Seating Arrangements.



4.13.7.3. A POW or missing in action (MIA) table is an optional feature. If included, it is placed at the front of the mess, near the head table. (See Figure 4.2) This table may be set for one Service (or all four Services), with or without hats. This round table is smaller than the others, symbolizing the frailty of one prisoner alone against oppressors. (***NOTE:*** For detailed guidance concerning the POW or MIA table, refer to your local or MAJCOM protocol office.) The items on the table represent the following:

4.13.7.3.1. White tablecloth—symbolizes the purity of POWs' or MIAs' intentions to respond to their country's call to arms.

4.13.7.3.2. Single rose displayed in a vase—symbolizes remembrance of the comrades-in-arms' families and loved ones who keep the faith awaiting their return.

4.13.7.3.3. Red ribbon tied on the vase—reminiscent of the red ribbon worn on the lapel and breasts of thousands who bear witness to the unyielding determination to demand proper accounting of the missing.

4.13.7.3.4. Slice of lemon on the bread plate—reminds us of their bitter fate.

4.13.7.3.5. Salt on the bread plate—symbolic of the families' tears as they wait.

4.13.7.3.6. Inverted glass—reminds us they cannot toast with us.

4.13.7.3.7. Empty chair—reminds us they are not here.

4.13.8. Decorations:

4.13.8.1. When planning the decorations, consider the tables, dining room, and lounge. Try to limit table decorations to floral centerpieces and silver candelabra. Order the flowers from a florist at least 1 week in advance. It is generally best to set a budget and have the florist work within dollar limits. The club or caterer may provide the silver candelabra. Formal organizational decorations may also be appropriate.

4.13.8.2. Dining room and lounge decorations often include seals, emblems, flags, and colors tastefully displayed. When in doubt, keep the decorations patriotic (for example, flags; banquet colors of red, white, and blue; and other like items).

4.13.8.3. Place the American flag in the position of honor appropriate to the seating arrangement being used. Place all other flags to the right of the American flag. Display foreign flags if foreign nationals attend and their flags are available. With sufficient lead time, the local or MAJCOM protocol office can loan flags or other protocol items. If several general officers attend, display the flag representing the most senior individual speaking at the engagement or one flag for each general officer grade in attendance.

4.13.9. Program:

4.13.9.1. Although not required, a program booklet is one finishing touch that helps give the Dining-In "class." A professional-looking program adds a nice touch, and many people like to keep it as a memento. Usually, one booklet for each place setting is sufficient. In the booklet, include a welcome letter from the commander or CCM, biography of the guest speaker, agenda, schedule of and response to toasts, and menu. Other items such as photographs of the guest speaker and president may also be included. Be sure to obtain this information well in advance to allow enough time for program preparation and printing.

4.13.9.2. The program booklet may be printed commercially or in house. Commercial companies may produce a more professional product, but the cost may be prohibitive. If you elect in-house printing, give some consideration to dressing up the booklet by using quality paper stock, graphic art, type size, and variations in typeface (for example, old English or script). Determine the cost, production method, and booklet contents by local practice and the president's preference.

4.13.10. Budget.

An exotic menu, elaborate decorations, engraved invitations, and a fancy program could result in very high cost to members of the mess. Remember, the Dining-In is for the members of the mess, and it should reflect their wishes. If some of the traditions are too expensive, unavailable, or simply not desired, disregard them. With some imagination, relatively simple decorations and a simple, moving, and patriotic ceremony, a Dining-In can be an enjoyable, first-class event without excessive cost. Once tentative costs are determined, the finance person should develop an operating budget because accurately projecting expenditures is necessary to determine the approximate member and organizational cost. If a fundraiser is planned, ensure it is held before setting the price per person.

4.13.11. Billing.

Establish a procedure for collecting and depositing money. A separate bank account just for the function may be advisable. For a large function, ask people to serve as key workers within the various unit elements. Each worker is then responsible for taking reservations, collecting money or club card numbers, and turning over these funds to the planning committee.

4.13.12. Bartenders.

There never seems to be enough bartenders during the cocktail hour or break, yet they are not needed during the formal part of the Dining-In. (Outside drinks are not allowed in the dining room, only the wine and water on each table.) One solution is to start with extra bartenders. This, of course, will increase the cost. A more practical solution is to have drinks prepoured or premixed. Bartenders should also make sure there is an ample supply of nonalcoholic beverages, including diet beverages. You usually will not have to worry about the bartenders if the event is held at a base club.

4.13.13. Chaplain.

A chaplain or member of the mess may give the invocation. If invited to give the invocation, the chaplain usually sits at the head table.

4.13.14. Photography.

Brief the photographer and provide an agenda. List the specific photographs desired. Remember, color photography is expensive and may require additional justification. Ensure the photographer does not detract from the ceremony or activities. If necessary, stage photos before or after the event.

4.13.15. Guest Speaker's Gift.

This gift should be of nominal value. A plaque commemorating the occasion or the president's gavel is quite acceptable.

4.13.16. Site Inspection.

Every committee member should check the Dining-In site thoroughly on the event day as early in the day as practical. Many little details may need to be modified or corrected. Be sure the mementos, programs, POW or MIA table (if applicable), seating chart, gavel, and chimes are in place. Check the sound system, lighting, and temperature control units because any one of these can spell failure if they are not operating properly.

4.14. Conducting the Dining-In (with a General Officer in Attendance).

The entire Dining-In is never rehearsed, although certain portions should be so key players are prepared. A script, prepared by the president and Mister or Madam Vice, can be used. The script usually includes a sequence of events from arrival to adjournment and the associated rules and rituals to the extent historical research supports them.

4.14.1. Cocktails.

Each member of the mess should arrive in the lounge within 10 minutes of the opening time. Members should never arrive after the senior guest. The cocktail period usually lasts between 30 to 60 minutes. This allows members time to assemble before dinner and meet the guests. Escort officers or NCOs should never leave guests unattended, and members should rotate between guests to ensure conversations remain stimulating. The cocktail hour does not lend itself to heavy hors d'oeuvres, but light snacks such as chips, pretzels, and nuts may be made available in the lounge. Soft, classical or semiclassical background music (recorded or live) is also appropriate.

4.14.2. Assembling for Dinner.

At the end of the cocktail period, Mister or Madam Vice sounds the dinner chimes and directs the mess to proceed to the dining room. Members and guests sitting at the head table remain in the lounge or assemble in an anteroom. All others proceed in an orderly fashion to their seats and stand quietly behind their chairs. By tradition, drinks and lighted smoking materials are never taken into the dining room. Once the mess is assembled, the guests at the head table enter in the order they will sit at the table so the entrance and seating can proceed smoothly. When the head table guests are in place, "Ruffles and Flourishes" and the "General's March" are sounded, as appropriate to the senior official. During "Ruffles and Flourishes," all members of the mess stand at attention.

4.14.3. Calling the Mess to Order:

4.14.3.1. Immediately following "Ruffles and Flourishes," the president raps the gavel once to call the mess to order. He or she then directs the color guard to post the colors. If the colors are in place, the national anthem is played or sung immediately following the president's call to order. A bugler may sound "To the Colors" instead of the national anthem.

4.14.3.2. The manner in which the colors are posted and the playing of the national anthem can set the tone for the entire evening. A darkened room with a spotlight on the flag as the color guard carries it into the room and a soloist singing the national anthem with no background music can be a dramatic and moving event. However, drama can also be taken too far, so keep it as simple as possible.

4.14.3.3. Following the national anthem, the color guard departs the room. Protocol does not require the colors (once posted) be retired, so it is acceptable to dismiss the color guard at this time. ***NOTE:*** Most units now provide meals for the color guard.

4.14.3.4. After the color guard departs or is seated, the president asks for the invocation, and members of the mess and guests remain standing for the toasts.

4.14.4. Toasting:

4.14.4.1. The custom of toasting is universal. Toasting came into wide acceptance after the effects of poison were discovered. After two people, who may be antagonists, drank from the same source at the same instant but suffered no ill effects, a degree of mutual trust and rapport could be established. Discussion could then continue on a more cordial basis. Today, a toast is a simple courtesy to an honored person.

4.14.4.2. Toasts are proposed in sequence and at intervals during the program. The president proposes the first toast. If a toast to the colors is to be made, it is always the first toast. In this case, members of the mess respond, "To the Colors." The next toasts are to the heads of state of the Allied Nations represented by mess members. The toasts are made in order of seniority of Allied officers present. Commonwealth nations toast the sovereign, not an elected official. At some locations, there may be a number of Allied officers present. In this case, it is appropriate to collectively propose a toast to the heads of state of all Allied Nations represented by mess members. Consult the local protocol office or individual Allied officer for the proper terminology to use when toasting heads of state.

4.14.4.3. After the president of the mess toasts the head of each allied nation represented by a mess member, the senior Allied officer then proposes a toast to the President of the United States. The response is "To the President." If no members from Allied Nations are present, the president of the mess proposes the toast to the Commander in Chief. The response is the same, "To the President."

4.14.4.4. Following the president's or senior Allied officer's toast, Mister or Madam Vice proposes a toast to the Air Force Chief of Staff. The response is "To the Chief of Staff." A toast to the Chief of Staff of other Services is appropriate if officers of that service are present. The senior-ranking sister Service officer then proposes a toast to the Chief of Staff, US Air Force. It is also appropriate at a Dining-In conducted by enlisted people to toast the CMSAF and senior enlisted chiefs of other represented Services. The response is "Hear! Hear!"

4.14.4.5. If a POW or MIA table is included, it is proper to propose a toast "To our POWs and fallen comrades." This toast, called "One More Roll," is with water only and can be proposed by the president, vice president, or other designated member of the mess. Following the formal toasts, the president seats the mess with one rap of the gavel.

4.14.4.6. Excessive toasting can make for a long evening. While other toasts may be appropriate, too many toasts can cause the evening to run behind schedule and dampen the enthusiasm of the mess. Also, it is not necessary to drain the glass for each toast. A mere touch of the glass to the lips satisfies the ceremonial requirements.

4.14.4.7. Informal or impromptu toasts are also an important part of the occasion. They should be humorous, but in good taste.

4.14.5. Opening Remarks.

Besides setting the tone for the evening, the president's remarks provide the opportunity to officially welcome guests. After introducing those seated at the head table, the president should either personally introduce the remaining distinguished guests or poll the officer and NCO escorts. After the president recognizes official and distinguished guests, Mister or Madam Vice proposes a toast to the guests. Members of the mess stand; guests remain seated. The response to this and all future toasts is "Hear! Hear!" The president then seats the mess and invites the members to eat.

4.14.6. Dinner:

4.14.6.1. Meals are always served to the head table first. At other tables, the highest ranking persons are served first. Although this normally means junior members are served last, Mister or Madam Vice is an exception and should be served immediately after the head table. With the toasts and other activities, the president and vice president will not have time to eat unless served early.

4.14.6.2. The president can limit toasts so the members can eat. Before serving the entree, the president may add some humor by asking Mister or Madam Vice to sample the meal to make sure it is fit for consumption. The vice president may compose an ode or poem to the meal. Numerous variations are best left to the planning committee's and/or president's imagination.

4.14.7. The Grog Bowl:

4.14.7.1. Although most organizations use a grog bowl, it is not mandatory. The planning committee determines the bowl's contents. However, the contents should be nonalcoholic so as to not dampen the spirits and participation of individuals who do not consume alcoholic beverages. An option is to have two grog bowls—one with alcohol and one without. Some organizations conduct a "grog-mixing ceremony" during which Mister or Madam Vice mixes the contents of each bowl while reciting a humorous narrative.

4.14.7.2. At various points during the evening, a member may be sent to the grog bowl as punishment for violating the rules of the mess. Some of the more common violations are arriving late at the cocktail lounge, carrying drinks into the dining room, toasting with an unfilled glass, or discussing business (referred to as "opening the hangar doors"). Certain members seem to be frequent violators. Mister or Madam Vice is one such person. It is also not uncommon for the president and the guest speaker to be charged with at least one violation. If the president must temporarily leave the head table, he or she must appoint another person to assume the president's role. If the president fails to appoint someone, the position automatically falls to the next senior official at the head table.

4.14.7.3. The president, vice president, or any member of the mess can note infractions warranting a trip to the grog bowl at any time. Members bring infractions to the president's attention by raising a point of order. If the validity of the charge is in question, members vote by tapping their spoons on the table. Hand-clapping is not allowed at a Dining-In. When the president directs a violator to the grog bowl, the individual must perform the correct procedure (usually outlined in the program).

4.14.8. Recess.

At the scheduled time, the president raps the gavel twice and announces a short recess to enable the facility's staff to clear the dishes and serve dessert. Members go to the cocktail lounge, where the bar is open.

4.14.9. Reconvening the Mess.

After recess, Mister or Madam Vice sounds the chimes and directs everyone to return to the dining room and remain standing until the head table enters. Once the head table is in place, the president raps the gavel once to seat the mess. (Again, members should not take drinks into the dining room.) Members then partake of dessert and coffee or tea.

4.14.10. Recognition and Awards.

Immediately after dessert is an appropriate time for individual recognition (such as promotions, quarterly or annual awards, etc.) or unit awards. A toast may also be appropriate at this time.

4.14.11. Guest Speaker's Address.

After recognition and awards, the president introduces the guest speaker. The speaker's address typically lasts 15 to 20 minutes and is patriotic and/or entertaining. On completion of the address, the president thanks the guest speaker and presents a small token of appreciation The president then asks the vice president to propose a toast to the guest speaker.

4.14.12. Closing the Mess:

4.14.12.1. The president recognizes those who organized the Dining-In and thanks Mister or Madam Vice. The color guard may then retire the colors. The president encourages everyone to stay and enjoy themselves (if there is post-dinner entertainment) and then adjourns the mess with two raps of the gavel.

4.14.12.2. Members remain at the Dining-In until the guest of honor and the president leave. The president may allow members to leave at their own discretion if the guest of honor or president plans to stay an extensive time. Some unobtrusive signal, such as casing the unit flag, is an appropriate means of notifying members that the evening's activities are over. Traditionally, Mister or Madam Vice is the last member to leave the Dining-In.

4.15. Post-Dinner Entertainment.

The adjournment is a signal for the vice president to open the informal part of the program. An orchestra for dancing may be appropriate entertainment, but the arrangements officer or NCO and the vice president must work within the guidelines the president sets.

4.16. A Final Word.

A Dining-In or Dining-Out is held so members of an organization can have a good time together. However, the following cautions should be observed: (1) do not go overboard with expenses—a good time does not have to be costly, and (2) prepare an agenda and stick to it. The formal portion should be well planned and kept on schedule. A formal program that lasts between 2 and 2 1/2 hours is ideal and allows sufficient time for informal entertainment. Too much entertainment can make the evening drag on, causing members to remember the event's length rather than its success.

4.17. Conclusion.

Protocol is a code prescribing strict adherence to correct etiquette and precedence. This chapter provided direction on the conduct of Air Force personnel during personal, national, and international affairs. The generally accepted elements, units, bases, and MAJCOM protocol procedures to meet special needs were discussed. Though only guidelines, the information in this chapter can help avoid protocol pitfalls.

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Chapter 5

THE PROFESSION OF ARMS AND PROFESSIONALISM

Yours is the profession of arms, the will to win, the sure knowledge that in war there is no substitute for victory, that if you lose, the nation will be destroyed, that the very obsession of your public service must be duty, honor, country.

General Douglas MacArthur
Former Army Chief of Staff

Section 5A—The Profession of Arms

5.1. Introduction:

5.1.1. Since the dawn of recorded time, war has been an integral part of human history. Many different theories seek to explain why war has played such a dominant role in humankind's history. Some argue that war is an aberration in human character, while others contend that it's a natural part of human behavior. Regardless of their personal convictions on war, all social scientists agree that military force has played an important role in human development. While many may wish for a world of eternal peace, everyone must be prepared to face enemies who may threaten the national security.

5.1.2. To ensure the protection of national interests, the United States Government has created the most powerful military force in the history of humankind. The US military establishment, composed of four Services—the Army, Navy, Marine Corps, and Air Force—is capable of projecting immense power throughout the world. If this military strength was misapplied, it could easily destroy the very fabric of American society.

5.1.3. In a very fundamental way, serving as a military member represents a special calling. The essential purpose of an organized military force is to defend the interests of the state, by force of arms if necessary. This task is unique to the military profession. There are those who have tried to compare the responsibilities of military officers to business executives. Both occupations call for leadership abilities and involve the management of human and material resources. But what business expects its executives to be available for work 24 hours a day, 7 days a week, and ready to risk their lives on behalf of its stockholders? Most assuredly, executive job descriptions do not include the responsibility to lead others to their deaths. At its heart, the military profession is a calling that requires a devotion to service and willingness to sacrifice at levels far beyond that required in the marketplace.

5.2. Today's Military: Wage Earner or Professional?

5.2.1. Does professionalism mean the same when applied to different occupations, such as doctors, lawyers, military officers, artists, plumbers, and athletes? The answer, of course, is "no." Some of these are considered professional occupations simply because the practitioners are paid for their skills—they are "professionals" instead of "amateurs." If professional status was defined strictly in economic terms, then a military member or a physician is a professional in the same way that Michael Jordan is a professional basketball player; all are paid for doing their jobs. The following information discusses professionalism in its more profound sense, as an ideal and a goal sought by those with superior character and commitment.

5.2.2. Social scientists have long attempted to determine the specific characteristics common to professionalism and professions. The criteria developed contained anywhere from three to more than a dozen elements and, at first glance, do not seem to approach any common consensus. Two models, however, are reasonably representative of the diverse characterizations and were developed by scholars who closely study the military and its relationship with the rest of society. Dr Samuel Huntington and Dr Allan Millett created models of professionalism that are excellent starting points for evaluating the military career. After looking at these two models and comparing the military career to them, the opinions of other scholars with more critical arguments will be examined. Finally, a third model is considered; this one, developed by Dr Charles Moskos, describes the changes in the military's organizational identity in the last 25 years. His institutional/occupational paradigm helps clarify how identity and commitment can affect attitudes toward the military career.

5.3. Huntington's Model of a Profession.

Dr Samuel Huntington, a Harvard professor of political science, developed one of the best-known models of professionalism. His book, *The Soldier and the State,* is a classic study of civil-military relations and provides a detailed examination of the military officer career as a profession. Huntington looks at the economic, social, and political relations of the officer corps with society and government and closely examines the nature of the officer corps, what its characteristics are, and what sort of people are military officers. To answer these questions, Huntington begins by defining professionalism: a group of people working in a certain occupation can be considered a profession if the group exhibits three essential characteristics—expertise, responsibility, and corporateness. Although the majority of the following information was originally written as a discussion on the professionalism of the Air Force officer corps, the ideas presented may be applied in a broader sense to include the NCO, especially the SNCO.

5.3.1. Expertise.

A profession centers around a specific set of skills and a body of knowledge learned through extensive education and experience. This specific skill and knowledge set the profession apart from laymen who do not possess them. The expertise also aids in developing universal standards of conduct and performance for members of the profession. But professional knowledge is more than simply possessing practical skills; it must also be intellectual and scholarly in nature. Professionals acquire this specialized knowledge through a process of extensive and continued education, usually involving undergraduate and graduate-level study, technical training, and additional professional schools. More specifically, Huntington views professional expertise as composed of the following three components:

5.3.1.1. Technical Component. The ordinary skill or craft exists only in the present and is mastered by learning an existing technique without reference to what has gone before. This part of expertise is learning the "tools of the trade." Professionals learn and practice skills that are beyond the layman's capacity to apply. In a science and technology-based profession such as medicine, these skills may include operating diagnostic and surgical equipment. In a less-scientific profession such as law, these skills may mean a knowledge of court procedures, rules of evidence, and elements of proof.

5.3.1.2. Theoretical or Intellectual Component. Professional knowledge is intellectual in nature and capable of preservation in writing. Professional knowledge has a history, and some knowledge of this history is essential to competence. The theoretical component involves an understanding of the "how" and the "why" of the technical component. For physicians, this may include the philosophy and history of medical practice; for lawyers, the theories behind the American judicial system; for military members, the theory and history of military operations. This component of expertise also enables and requires professionals to understand and apply new developments by remaining in contact with the academic side of their professional knowledge, through journals and conferences, and with the movement of personnel between practice, teaching, and research. The theoretical component separates the professional from the technician; the technician only needs to master a particular skill, but the professional needs to know why his or her skills accomplish the necessary task.

5.3.1.3. Broad-Liberal Component. Professional expertise also has a dimension in breadth that is lacking in the normal trade. It is a segment of the total cultural tradition of society. The professional can successfully apply his or her own skill only when he or she is aware of this broader tradition of which he or she is a part. Perhaps the most complex component of expertise, the broad-liberal component, may also be the most important for the professional. It involves the ability of professionals to understand the role of their profession in the economic, social, political, and cultural milieu of their society. Professionals must have an understanding of human behavior, relationships, standards of conduct, and organizational structures so their professional expertise can be best used to achieve desirable results.

5.3.2. Professional Responsibility:

5.3.2.1. The professional is a practicing expert, working in a social context and performing a service, such as a promotion of health, education, or justice, essential to the functioning of society. The client of every profession is society. Because of the complex nature of professional expertise, laymen are usually not fully capable of understanding what professionals do or how they do it so that professionals have a "monopoly" over a particular skill. Society is also not generally capable of determining whether a professional is acting competently or ethically; only another professional can make such a judgment. Hence, society and those

needing professional expertise place great trust in the professional. For this reason, a special relationship exists between the professional and the client that is different from the standard relationship of the marketplace. It is called the "professional-client relationship." Clients must accept the professionals' "monopoly on expertise" by accepting their definition of and solution to the problem, which requires professional service.

5.3.2.2. On the other hand, just as professionals expect clients to place affairs completely in their hands, clients expect professionals to abide by certain ethical norms and high standards of professional conduct. Society requires professionals to perform their services when needed and to fulfill at least three obligations:

5.3.2.2.1. The professional must not exceed the bounds of competence. This means two things. One, professionals must never perform service outside the bounds of their specific expertise. It would be unethical, for example, for a tax attorney to defend an individual accused of murder, even though as a lawyer he or she may have access to the court system. Two, a professional must not exert personal prejudices or nonprofessional beliefs and judgments upon the professional-client relationship. A physician, for example, should not refuse treatment to a patient addicted to drugs merely because of personal bias against the patient's past conduct.

5.3.2.2.2. The professional should always act in ways wholly in the client's best interest. For example, lawyers should defend clients because they intend to work conscientiously for each client's interest, not because they stand to profit from selling transcripts of private interviews with their clients. Similarly, surgeons are expected to perform procedures because they are really needed, not because they can make more money from them. Huntington says that financial gain cannot be the primary goal of a professional person when performing in the character or capacity of a professional.

5.3.2.2.3. The professional always acts with absolute integrity with the client. Lawyers may use legal tricks or courtroom theatrics and can argue over technicalities; they can fight their client's cause as far as conscience and the practice of their profession will allow. However, they must never lie, cheat, or steal from their clients—integrity is an absolute necessity in the professional-client relationship. These obligations to clients are what Huntington calls "professional responsibility."

5.3.3. Corporateness:

5.3.3.1. The members of a profession share a sense of organic unity and consciousness of themselves as a group apart from laymen. This collective sense has its origins in the lengthy discipline and training necessary for professional competence, the common bond of work, and the sharing of a unique social responsibility. This shared sense of belonging among professionals can be called "corporateness."

5.3.3.2. Corporateness results first from a common bond of work. Professional people are likely to associate with one another, both during work and socially. Physicians may work together at a hospital or medical complex and lawyers may frequently see each other in court; they may also share the same leisure activities, symbols, private interests, and lifestyles. Second, professionals desire autonomy. Professionals believe they should be able to provide their specific service to society in the way they think best—without undue influence from those "outside" the profession.

5.3.3.3. Last, professionals desire to communicate with one another to share experiences, new techniques, and knowledge. This often manifests itself in professional organizations. For the medical profession in the United States, the professional organization is the American Medical Association (AMA); for the legal profession, it is the American Bar Association (ABA). Other professions have similar institutions. These organizations often perform essential services for the profession and for the society it serves; they police the profession by ensuring a certain level of competence, often through examinations and specific input to licensing authorities; they control recruitment by setting standards for entrance into the education and training programs necessary for membership in the profession. They also promote professional knowledge through journals such as the *Journal of the American Medical Association* (JAMA) and through conferences. In addition, the organization often represents the profession as the spokesperson for its members in public debates.

5.3.4. The Military Profession:

5.3.4.1. Given Huntington's model of professionalism, the question remains: Does the military officer corps qualify as a profession? Huntington seems to answer this unequivocally: "The vocation of officership meets the criteria of professionalism." Nonetheless, each of his criteria should be examined more closely.

5.3.4.2. Does the military officer corps possess a specific expertise separate from civilian groups? Even though the military has many different specialties and branches of service, Huntington believes the officer corps has a specialized skill, best summed up by Harold Lasswell's phrase, "the management of violence." More formally, Huntington states, "The direction, operation, and control of a human organization whose primary function is the application of violence is the peculiar skill of the officer."

5.3.4.3. Quite obviously, officers at different levels of rank and experience possess this expertise in differing amounts. Huntington says the bigger and more complex the organization officers are capable of directing and the greater the number of situations and conditions under which they can serve, the more professional they are. Officers assigned to or capable of directing only minor military efforts may be at such a low level of expertise as to call into question their professional status. Officers who can lead the operations of an aircraft wing or of an aircraft carrier battle group are certainly at a highly professional level. Those who can combine the use of land, sea, and air forces in an effective joint operation are at the top of the military profession.

5.3.4.4. Officer skills are neither primarily mechanical (based on the techniques and science of particular tasks), nor just an art (a unique talent with which a person is born). Officership is, according to Huntington, ". . . an extraordinary complex intellectual skill requiring comprehensive study and training." The specific skill of the officer is the management of violence, not the violent act itself. Flying an F-16 fighter, for example, requires a background knowledge of warfare to be sure, but it is primarily a mechanical skill. Directing an F-16 fighter squadron, however, requires far greater knowledge, leadership, and management ability. These can only be gained through continuous education and application of the theory and past lessons of organizing, training, equipping, and directing military forces.

5.3.4.5. The specific expertise of the officer carries with it special social responsibilities. With the military power at their disposal, officers could conceivably use their expertise for their own personal or service advantage and may coerce or disobey the society they are pledged to serve. Huntington tells us officers have a profound responsibility—to maintain the military security of society, their client. Everyone in a society has an interest in its security and, while the government as a whole has a concern for national security along with other social values, the officer corps alone is responsible for military security to the exclusion of all other ends.

5.3.4.6. Unlike physicians or lawyers, whose responsibilities are to individual patients or clients, military officers are responsible to society as a whole as "expert advisors." Like other professions, however, officers can only serve their clients in the realm of their specific expertise. Professionals identify the needs of their clients and recommend a course of action, then they apply their professional knowledge and experience once a decision is made with the client.

5.3.4.7. Membership in any profession is limited to a carefully chosen group; the commission is to the officer what a license is to a doctor. Entrance is restricted to only those with the required education and training. According to Huntington, the structure of the officer corps includes not just the official bureaucracy but also societies, associations, schools, journals, customs, and traditions. Officers tend to work and to live apart from society, although this has been steadily decreasing over time, and they probably have less contact with society outside of the officer corps than do members of other professions. Heroic murals and status, customs, uniforms, reveille, and taps—all these things faithfully teach new leaders that they have entered a profession.

5.3.4.8. But what about the enlisted force? Today when we use the term professional soldier, sailor, marine, or airman, we think of every member of the military regardless of rank. Huntington says, however, "The enlisted personnel have neither the intellectual skills nor the professional responsibility of the officer. They are specialists in the application of violence, not the management of violence. Their vocation is a trade, not a profession." This was perhaps true in 1957 when Huntington wrote *The Soldier and the State,* but the military of today is quite different. Enlisted personnel are entering the service with a higher education level than ever before and sometimes earn graduate-level degrees during their careers. With recent drawdowns of personnel in the entire force, many positions once manned by officers are now filled with NCOs. While it is still true

the enlisted corps cannot generally claim professional status, the higher NCO ranks may be individually qualified because of their high levels of education, responsibility, and career motivation.

5.3.4.9. The military officer, as an abstract concept, fits well into Huntington's model of a profession. Yet individuals make up the military service, not paper concepts or theoretical models. Meeting Huntington's three criteria of professionalism should be an individual concern; perhaps more than other occupations, the professional ideal should be a specific goal of each military officer (member).

5.4. Millett's Model of a Profession:

5.4.1. Attributes.

Millett, a retired US Marine Corps colonel, is a professor of history at Ohio State University and a prolific writer on the military and society. In his paper, *Military Professionalism and Officership in America,* Millett states, "A profession is an occupation that has assumed all or some of the attributes generally regarded as typical of professions." It then falls to the definition of these characteristics to determine the essence of professions. Millett admits there is no consensus but goes on to list six attributes he believes are found in most professions—a list that closely parallels Huntington's ideas.

5.4.1.1. According to Millett, a profession is first "a full-time and stable job, serving continuing societal needs." Professionals provide a vital service to society even though every member of society may not feel he or she needs this particular service. The medical profession helps to ensure the health of everyone in society through both prevention and treatment of illness and injury. Some members of society served by these medical professionals may not feel they need doctors because they are blessed with good health or perhaps they base their health on particular religious beliefs. Physicians, however, are ever ready to provide their professional service to those in need, whether during office hours or after the end of their working hours. Most would agree that the level of health, well-being, and the quality of life provided by medical professionals is vital to society's ability to function effectively.

5.4.1.2. The second attribute requires the profession to be "a lifelong calling by the practitioners, who identify themselves personally with their job subculture." Much of the lives of professionals, both public and private, revolve around their work. In our society, members of the clergy are held in high esteem for their expertise, dedication, and morality. Joining the clergy means devotion to religious beliefs and service to the church's congregation. Members of the clergy are presumed to have a life-long commitment by the rest of society and must possess all the expertise of their profession. They are treated with the same respect whether preaching in front of a congregation or having dinner with a family in a private home.

5.4.1.3. Millett's third attribute notes that professions are "organized to control performance standards and recruitment." This means professionals have a monopoly of expertise. They consider themselves the only group qualified to judge whether a member of their profession is living up to the profession's standards and code of ethics and whether applicants to the profession can meet the qualifications for membership. Standards of professional performance are usually determined by professional organizations, such as the ABA which regulates the legal profession. College graduates who wish to become lawyers must meet certain standards to be admitted to law school and then must pass a bar examination to be able to practice law. A lawyer who fails to maintain professional standards of conduct or ethics can be disbarred and prevented from practicing law by the other members of this profession.

5.4.1.4. Fourth, the profession requires "formal, theoretical education." Professionals must have more than training in the practical aspects of their craft. Physicians need to have a foundation in the basic sciences to truly understand their profession, separating them from those who may only be skilled at first-aid, operate medical diagnostic equipment, or administer medication. While there is no question these are vital functions, knowledge of these skills does not make practitioners members of the medical profession. Millett says "professions are based on some system of specialized knowledge which is continually enlarged by academic research and experience." For example, doctors go to medical conferences and read and submit papers to professional journals; they try to enhance both their profession and their own professional expertise and reputation.

5.4.1.5. Fifth, Millett says professions must have "a service orientation in which loyalty to standards of competence and loyalty to clients' needs are paramount." Clients requiring professional help must depend on

the judgment of a professional; they are laymen and do not possess the expertise required to understand the professional service requested. A client requesting help from a tax attorney cannot, on competent grounds, contest the attorney's opinion about whether a certain tax adjustment is valid. Because of the client's vulnerability in the professional-client relationship, professionals have a society-imposed obligation to act only on the client's behalf and never in their own self-interest. This "service orientation" is a complex issue and recalls a contemporary controversy about the two primary examples of professions, doctors and lawyers. Do people join these professions to serve humanity or to make money? No doubt the motives for most are mixed, but the professional ideal set by this attribute provides a clear standard for conduct.

5.4.1.6. The sixth attribute, according to Millett, is that the profession "is granted a great deal of collective autonomy by the society it serves, presumably because the practitioners have proven their high ethical standards and trustworthiness." It is this last attribute that Millett says most separates a profession from other occupations. Autonomy is the right of self-government. Society grants autonomy to professions because they perform society's most necessary, difficult, morally ambiguous, and unpleasant jobs. Lawyers must ensure the individual rights of even violent criminals are not violated during the judicial process; physicians must make life or death decisions about their patients and must deal with ambiguous moral issues. Professions desire autonomy so that those who lack the professional's expertise will not have undue influence in the affairs of the profession. Millett warns, however, "the professional's relative freedom is conditional and ultimately depends on continuous social approval." If professionals do not police their colleagues adequately and they abuse their privileged role, the entire profession could lose its freedom and destroy trust as rapidly as it gained its relative autonomy.

5.4.2. The Military Profession:

5.4.2.1. According to Millett, an occupation's claim to professional status depends on having some or all of the six attributes listed in his model. His attributes can be looked upon as a relative scale: the fewer attributes an occupation possesses, the less professional; the greater number of attributes, the more professional. As with Huntington's model, the military officer corps seems to fit Millett's professional model quite well.

5.4.2.2. The military is a full-time job serving the needs of society. The days are long gone when the defense of the nation could be put in the hands of a citizen-soldiery who would grab their muskets and powder horns from atop the mantel and rush out to meet the enemy. The technology and complexity of today's warfare demands a full-time military that provides continuous deterrence and is prepared to fight when called upon. This is a need even in the post-cold war world. From nuclear proliferation and terrorism to regional conflicts, from famine relief to peacekeeping, American society continues to need an organization to maintain its security.

5.4.2.3. The military is a life-long calling of people who identify themselves with their job. The key word in this attribute is "calling," a word normally associated with the clergy but deemed necessary for all professionals. Colonel Lloyd Matthews, US Army (Ret), writes, ". . . on entering the Army, true professionals don't simply take a job. Instead, they profess to a sacred calling, one that totally immerses them, along with their band of professional brethren, in a career dedicated to a single transcendent cause." The American military's calling is to defend the United States and the freedom of its citizens against any and all aggressors.

5.4.2.4. Procedures and policies within the military control members' performance, set standards, and regulate recruitment. Control is exercised within the profession by its members because those outside the profession do not possess the expertise needed to judge whether applicants have met the standards and whether members already in the profession are performing well. Matthews notes that the military regulates itself and its members to a higher degree than any other calling. Selection boards for commissioning, professional schools, promotions, performance reports, awards and decorations, and court-martial panels are all well-entrenched facts of military life.

5.4.2.5. The military officer requires formal theoretical education. While no doubt highly educated, a question remains as to whether the officer has been given a distinct and unique body of knowledge, theory, and history beyond the normal undergraduate degree that can be taught by the military education system. Does the military have an equivalent medical or law school? Stated another way, some believe that officers lack a single defined specialty because society requires them to fill so many different roles. In addition to being a war fighter, military officers are peacemakers, advisors, managers, and many other things. Matthews

recognized that officers must be versatile and adaptable, but stressed the critical role that comes above all others and that must not be forgotten—to lead soldiers into battle in defense of the country. This requirement can emerge at any time and without a distinct break from the other function. The officer may at one moment be feeding a starving nation and in the next be fighting against those who were starving. The events in Somalia in 1992 are a reminder of why the military must be flexible and responsive to changes in the environment surrounding its operations.

5.4.2.6. Others believe that military schools should concentrate more on the practical aspects of employing violence and should teach officers more about the latest technology for the modern battlefield. Matthew's response to this belief is that military schooling, like other professional training, should maintain a tension between theory and practice. Physicians cannot practice medicine if they only know the theory of medicine; they must also be able to diagnose and treat patients. Trial lawyers cannot function in front of judges and juries unless they have mastered a knowledge of laws practiced in mock trials and served in apprentice courses. Thus, it is in the military school system where theory provides the foundation upon which practical skills are built.

5.4.2.7. The military is service oriented, where loyalty to standards of competence and the client's needs are paramount. The officer's clients are the people of the nation. Because the United States can no longer rely on the security of a force of part-time volunteers, the American people have placed their trust in the professional judgment of military officers. Officers swear to defend the Constitution, national values, and the American way of life; they advise their civil authorities and fight when necessary. According to Matthews, "altruism is nowhere stronger than in the military, where the incentive of a day's hardtack and the chance to be of use stand in stark contrast to the opportunities for enrichment offered by some of the other professions."

5.4.2.8. Society grants the military a great deal of autonomy because of its members' high ethical behavior and trust. The uniformed chain of command is in control within the military. During peacetime, military officers are given authority to organize, train, and equip the nation's forces with little outside influence. Recruitment, promotion, and military justice are also handled within the profession. During war, military professionals are given authority to use the military resources of the nation much as they deem appropriate. Officers command not only expensive weapon systems, but are also in charge of the most precious national resource—the lives of its soldiers, sailors, marines, and airmen. No other profession can claim a responsibility of this magnitude.

5.4.2.9. While the military does not possess a single, unified code of ethics, there is no shortage of ethical guidance. The Oath of Office; the Air Force core values of *integrity first*, *service before self*, and *excellence in all we do*; and the UCMJ all set ethical standards for the military profession. Standards that all members, if they wish to be deemed professional, must make a part of their very being. Hence, in accordance with Millett's model, the officer corps seems to meet all six criteria and can claim professional status.

5.5. Arguments Against the Military as a Profession:

5.5.1. Beyond the military profession and the scholars who have studied civil-military relations closely, such as Huntington, Millett, and Moskos, is a good deal of discussion about why the military should not be considered a profession. Matthews cites several examples in the article *Is the Military Profession Legitimate?* A.M. Carr-Saunders and P.A. Wilson, in their article *The Professions,* exclude the military from professional status "because the service which soldiers are trained to render is one which it is hoped they will never be called upon to perform." In his article *Attributes as a Profession*, Ernest Greenwood lists 19 occupations as professions, from accountant to teacher, but does not mention the military. The US Census reports the military separate from its list of managerial and professional specialties' statistics. Zeb Bradford and James Murphy, while active military officers, wrote, "The military is not a profession in the way that certain other groups are, such as law and medicine." They claim the military has no expertise it can call its own and that officers are merely paid "jacks-of-all-trades."

5.5.2. Even theorists who have developed models that demonstrate officer professional status seem to agree the military profession is different. Huntington noted, "the public, as well as the scholar, hardly conceives of the officer in the same way that it does the lawyer or doctor, and it certainly does not accord to the officer the deference which it gives to the civilian professional." Janowitz writes, "In contrast to the public acclaim accorded individual military heroes, officership remains a relatively low-status profession." Similarly, Moskos says that in describing the military, the main hypothesis is that the profession has been moving away from an "institutional value" format to one that increasingly resembles that of an occupation.

5.5.3. These statements can be reduced to three critical impediments to officer professional status, according to Matthews. First, since the military is a government bureaucracy, officers lack real autonomy and do not have interaction with a genuine client in the traditional sense of profession. The officer's client is a collective (the American people) and is usually at a distance, instead of being individual and in a close, personal relationship. Moreover, professional discretion in the exercise of expertise is often threatened by the hierarchical and authoritarian nature of military and civilian government bureaucracies.

5.5.3.1. Matthews answers this point by noting that technology and society are changing rapidly and that bureaucracies are a fact of life everywhere. All professionals are adapting their organizations to move into the future. Physicians are moving from small, private practices into larger institutional settings, and lawyers are taking their expertise into other occupations, such as business and law enforcement. While not practicing their profession in the traditional sense, are these doctors and lawyers any less professional than before? Are Air Force officers less professional because they work for an organization of almost 400,000 men and women? Matthews believes the answer is clearly "no" in both cases.

5.5.3.2. Second, officers are not a member of a profession because their skills are used to kill and destroy, unlike the physician, for example, who strives to preserve life. Moreover, the "management of violence" is a skill that most hope will never have to be used; hence officers rarely practice their professional expertise. Matthews points out that the military provides a critical service to society that we all hope it performs, "deterring war and maintaining a secure peace." He also says that all professions deal in human frailty and disaster. Doctors, lawyers, and clergy all possess expertise that most hope will never have to be practiced. The doctor deals with injury and disease, the lawyer with crime, the minister with sickness of spirit, and the officer with armed conflict. Because the world is imperfect, professionals are required to answer the call to deal with the results of these imperfections. The officer's primary aim is to ensure security and peace in an ever-changing world, but the officer can only accomplish this task by always being ready to fight when called upon. Matthews drives this point home by quoting General Douglas MacArthur's address at West Point on 12 May 1962, "[Being prepared for war] does not mean that you are warmongers. On the contrary, the soldier above all other people prays for peace, for he must suffer and bear the deepest wounds and scars of war. Prevention is a major tenet of all professions, whether the aim is peace, health, or justice; those who practice it deserve respect."

5.5.3.3. The third argument against officer professional status is that the need for a "profession of arms" has passed now that the cold war has ended and more countries have converted to democratic and free market ideals. With only one superpower left in the world, no one can challenge the United States militarily, and the need for a large professional force has abated. Some believe the United States only needs a force large enough to provide a contingent to the United Nations. Since war is obsolete in this new era of peace, while other professional skills like medicine and law are still required, it follows that the military officer corps should be denied professional status.

5.5.3.4. If only this were so! Many have prophesied the end of warfare, but none has been correct. In the 20th century alone, the United States has fought in two major world wars, the first hailed as the "war to end all wars," over four decades of the cold war, and three major regional conflicts (Korea, Vietnam, and the Persian Gulf). No matter how principled the desire for peace in the calm of the classroom, a country must sometimes give way to higher interests in the complexity and confusion of the international contingent; the American military profession continues to serve an essential societal need.

5.6. The Military: Institution vs Occupation:

5.6.1. The models examined thus far have looked at the Armed Forces as institutions in which professional military officers practice their occupational expertise, assuming a common definition of the character and motivation of individual officers. In the 1970s, however, some scholars perceived a notable decline in the relevance, legitimacy, and prestige accorded the military profession by society. The same period also identifies a possible change in the value orientation of military officers from "selfless service to society" to "self-interest." Moskos defined this process as a shift from an institutional orientation to an occupational orientation.

5.6.2. Moskos' Institutional/Occupational (I/O) model assumes a continuum of civil-military arrangements ranging from a military entirely separate from society to one contiguous with civilian structures. "An institution is legitimated in terms of value and norms, that is, a purpose transcending individual self-interest in favor of a presumed higher good." According to Moskos, members of an institution are seen as following a calling (meaning a profession) and are

described by words such as integrity, service, and excellence. Members of a military institution perceive themselves and are regarded by society as separate; they hold notions such as self-sacrifice and define themselves as military officers. Consequently, they are held in high esteem by society. Officers with this orientation stress factors in their job that relate to military competence and to their responsibility to serve society.

5.6.3. On the other hand, Moskos notes, "An occupation is legitimated in terms of the marketplace. Supply and demand, rather than normative considerations, is paramount." In modern society, employees have input in determining the appropriate salary and work conditions. These rights are balanced by their responsibility to meet the obligations of a contract. This implies the interests of the individual come before the interests of the employer. Officers with this orientation stress factors such as salary, job security, and perhaps working conditions.

5.6.4. Moskos believes both models exist simultaneously within the military, while the military itself has traditionally tried to avoid becoming an occupational organization. The pay system has remained broken down into pay and allowances for housing and food, despite pressures to become a single salary. Yet the military has made some "occupational" changes to ensure it retains specific skills. Physicians, pilots, submarine officers, and expensively trained enlisted technicians receive bonuses and other incentives to join and to remain in the military service. The pay and allowance system reflects the entire military to a certain extent. People in an occupation tend to identify with others who possess the same skills and receive similar pay, which are typical outside of the organization. Identity in an institution comes from the shared experiences of living and working together. The process of accomplishing the mission is more important than the individual work outputs themselves. Individuals in the military put more emphasis on being a member of a particular unit than on their specific task in this unit. For example, the members of a bomber wing, whether pilot, security forces member, finance clerk, or cook, would identify their mission as "bombs on target."

5.6.5. In an institutional military, individuals are on duty 24 hours per day and are expected to take on a variety of roles that may not be limited to their particular military specialty. In an occupational military, the roles are job specific; as long as the job gets done, no one cares what an individual does when not at work. In an institutional military, members work and live on base, and frequent moves are a fact of life. The onbase club is the center of social life. In an occupational military, one's home and work locations are separate, and more value is placed on staying in one location. Societal activity takes place off the installation.

5.6.6. Membership in the institutional military even extends to spouses. They often take part in various organizations such as the Officers' Wives Club (OWC) and volunteer in activities supportive of the military community. Military families support and take part in institutional activities. In an occupational military, spouses are reluctant to take part in traditional social activities; many of them now work outside the home and often lack the time or inclination to do so.

5.6.7. In an institutional military, performance evaluations are qualitative and subjective. In an occupational military, performance is measured quantitatively against a "contract." The more institutional the military, the greater the use of the UCMJ system; the more occupational the military, the more likely an individual will be tried by a civilian court. In a society with an institutional military, veterans retain their status and receive preferences over nonveterans. This would be much less true with an occupational military. Moskos' I/O model is summarized in Figure 5.1.

5.6.8. The differences in how an officer views the profession of arms, whether as a calling or a job, can drastically affect the way he or she leads. How does a leader inspire his or her troops to do the right things and more than expected without appealing to virtues such as integrity, loyalty, and service? With only contractual inducements and sanctions, can a leader inspire his or her personnel to the high standards of appropriate conduct expected—demanded—of the profession? Malham Wakin says there is a moral aspect to being called "professional," as well as one of competence. He goes on to say:

> *The military leader who views his oath of office as merely a contractual arrangement with his government sets the stage for a style of leadership critically different from the leader who views that oath as a pledge to contribute to the common good of his society. For the former, "duty, honor, country" is a slogan adopted temporarily until the contract is completed, for the latter, "duty, honor, country" is a way of life adopted for the good of all and accepted as a moral commitment not subject to contractual negotiations.*

5.6.9. Wakin goes on to say that if professions do not control members' standards of fitness and inculcate the idea of service, they invite controls from the government or the marketplace. Leaders of professions must develop a sense in their members that virtues are critical for success.

Figure 5.1. Military Social Organization: Institutional vs Occupational.

Variable	Institutional	Occupational
Basis of compensation	Rank and seniority; decompressed by rank	Skill level and manpower shortages; compressed by rank
Evaluation of performance	Holistic and qualitative	Segmented and quantitative
Female roles	Limited employment; restricted career pattern	Wide employment; open career pattern
Legal system	Military justice; broad purview over military	Civilian jurisprudence; limited purview over members
Legitimacy	Normative values	Marketplace economy
Mode of compensation	Much in noncash form or deferred	Salary and bonuses
Post-service status	Veteran's benefits and preferences	Same as nonserver
Recruitment appeal	Character qualities; life-style orientation	High recruit pay; technical training
Reference groups	"Vertical" within Armed Forces	"Horizontal" with occupations outside the military
Residence	Work and residence adjacency; military housing; relocations	Work and residence separation; civilian housing permanence
Role commitments	Diffuse; generalists	Specific; specialists
Societal regard	Esteem based on notions of service	Prestige based on level of compensation
Spouse	Integral part of military community	Removed from military community

5.7. United States Air Force I/O Trend:

5.7.1. The United States Air Force officer corps is a unique example of the I/O model. Frank Wood, a retired Air Force colonel and military sociologist, believes, "Because of their extensive use of technology, the Air Force and the Air Force officer corps tend to be most susceptible to increasing specialization and a diffused sense of purpose." To describe this change at the individual level, Wood concentrates on professional identities and the commitment patterns of officers.

5.7.2. Wood cites four studies conducted from 1979 to 1984 where the attitudes of junior officers were surveyed. He found that approximately 40 to 50 percent of them reported consistently they "normally think of themselves as specialists working for the Air Force rather than as professional military officers." What was surprising to Wood was that this ratio of 60 percent officers and 40 percent specialists was true even among Air Force Academy graduates. Another surprise in several surveys was that pilots showed the greatest tendency to view themselves as specialists; they were professional pilots who happened to fly for the military. This finding contradicted Wood's assumption that

most institutional characteristics would be found near the flight line. From these surveys, Wood was able to determine consistent differences in attitudes. By contrast, those who identified themselves as specialists disagreed with many of the statements. For instance, those who identified themselves as professional officers reported as follows:

5.7.2.1. They view military experience as a way of life, not as a job.

5.7.2.2. Their Air Force careers provide opportunities for interesting and challenging jobs (in terms of importance) that would be very difficult to replace if they left the Air Force.

5.7.2.3. The Air Force does not require them to participate in too many activities not related to their job.

5.7.2.4. Their personal interests must take second place to operational requirements for military personnel.

5.7.2.5. Air Force people are special.

5.7.2.6. They live on base rather than in the civilian community.

5.7.2.7. They plan to continue their military service for 20 years and beyond.

5.7.3. Trends toward occupationalism in the Air Force can and should be reversed, according to Wood. Programs such as Project Warrior and an increased emphasis on "leadership" versus "management" can help institution building in the Air Force. Leaders at every level of the organization must communicate what is distinctive about the military to people both inside and outside the organization. The US Air Force's vision statement is a good attempt to point the diverse elements of the organization toward a common goal, "Air Force people building the world's most respected air and space force . . . global power and reach for America." The core values of "*integrity first, service before self, and excellence in all we do*" help define what is special about being a member of the Air Force. Wood sums up these ideas well, "The ultimate concern of every officer should be binding subordinates to the organization and to the mission. They must exemplify the values of mission over self and of devotion to the corporate body, even at the risk of their careers. Actions say more than words, and the troops know what is real and what is lip service. Air Force leaders cannot take for granted that military members will consider themselves part of an institution, but must actively try to shape these identities and commitments.

5.8. Conclusion:

5.8.1. If being recognized by the organization and society as "professional" military members is to mean anything, the term must be carefully applied and sparingly used. If this term is bestowed only for the purpose of meeting some academic prerequisite, or receiving payment for a specific skill, then it is meaningless. The word "professional" should inspire prospective and serving officers (including NCOs and SNCOs) with an ideal of service and expertise. Huntington states, "In practice, officership is strongest and most effective when it most closely approaches the professional ideal; it is weakest and most defective when it falls short of that ideal."

5.8.2. This section examined the military as a profession measured against the criteria of prominent experts, such as Huntington and Millett, and against the comments of less favorably inclined critics. Overall, the military seems to fit strongly into the professional category. But at what point can the individual claim professional status in the military? When is a young officer or NCO a full member of the profession of arms? Professional status comes to people at different times in their lives and careers. It is achieved through continuous study, practice, and experience in managing violence. It is expressed by attitudes and commitments and by the internalization of the values of military service.

5.8.3. The task of future members of the military is to educate themselves by study, experience, and by observing others. They must learn to accept responsibility for their actions and those of their subordinates and to take appropriate action, never hiding behind excuses. Their focus must be on devoted service to the nation, not on pay, working conditions, or their next assignment. Only then will they move toward achieving the ideal of professionalism.

Section 5B—Personal Professionalism

If you would be successful in our profession in the United States Air Force, then take your lead from those who have gone before. Make unflinching honesty and integrity the hallmarks of your performance. Aggressively pursue excellence in all that you do. And place Service before self.

General Ronald R. Fogleman
Former Air Force Chief of Staff

5.9. Introduction.

Defining professionalism is like trying to define leadership—it's hard to describe, but you know when you've been well led and you know when you've had contact with a real professional. The second part of this chapter concentrates on personal professionalism with discussions on readiness, professional reading program, core values, character, spirituality, professional integrity, and traditional military values.

5.10. Readiness:

5.10.1. One of the telltale signs of military professionals is preparation. When the time comes to use their skills, military professionals are ready. This kind of readiness comes from taking advantage of opportunities to gain experience. Into each military person's life come opportunities to serve. Some of them are mundane: "We need a volunteer to lead our unit (fill in the blank) drive." Some of them are more exciting: "Bill is sick today, could you present his briefing to the general this afternoon?" They are rarely convenient: "I know you just got back last night, but we need you to go TDY again. This afternoon!" Each opportunity represents a chance to gain experience, to grow, to get ready. In most cases, people have a choice. They don't have to volunteer to lead the drive. If no one volunteers, the boss will probably ask Joe or Sally to do it. No one would blame them if they declined giving the briefing on such short notice. After all, it's not their job. They can probably weasel out of going TDY again so soon. But if they make these choices, they will lose these opportunities forever.

5.10.2. Each military professional's background has included a unique set of such opportunities to serve. Oftentimes they didn't look like particularly exciting or rewarding tasks, but they held the seeds of greatness. Doing these tasks, whatever they were, built the experience level needed to sharpen judgment and discernment. Military members should strive to maintain a balance of experiences to keep growth relatively even in all areas of life (physical, mental, emotional, and spiritual). No real military professional is disconnected from the larger world or universe or the source of the power that holds it all together. They must also remember that the cost of choosing one task may be the opportunity to do another.

5.10.3. This said, the military professional, who stands ready to make the critical decision when it really counts and is able to perform his or her duties properly under the pressure of combat, is usually the one who took advantage of the unique set of opportunities that came his or her way. For as Ferdinand Foch said, "No study is possible on the battlefield." From these experiences, these professionals built the confidence, judgment, courage, and integrity they needed to act professionally. Did they always feel ready? Most would probably say "no." Most would probably say they wished they had had more experience to base these decisions on or to improve their performance. But most experience is gained this way, by taking the opportunity to act and learn, even when conditions aren't perfect.

5.10.4. Certainly, no one can do everything. Members must select wisely to prevent overloading and burnout. They can round out their perspective vicariously by sharing others' experiences through reading, especially through reading military history and the product of contemporary military thought such as what is available through military journals. Charles, Archduke of Austria, pointed to this thought when he said, "A great captain can be formed only by long experience and intense study; neither is his own experience enough—for whose life is…sufficiently fruitful of events to render his knowledge universal?"

5.11. Chief of Staff, Air Force (CSAF) Professional Reading Program:

> *The books on our 'Professional Reading List' provide insight into how and why air and space power has become so important. Many of the books are a window into the rich heritage of the US Air Force.*
>
> General Michael E. Ryan
> Former Air Force Chief of Staff

5.11.1. General Fogleman created the CSAF Professional Reading Program in 1996 to develop a common frame of reference among Air Force members—officers, enlisted, and civilians—to help each become better, more effective advocates of air and space power. General Ryan and now General John Jumper have wholeheartedly embraced and continued the CSAF's Professional Reading Program. This program can help launch a career-long reading program or be used to supplement previous readings. The books cover an expanse of topics. The majority of books detail air and space power from its genesis to recent times. Other books provide great examples of leadership, such as *Lincoln on Leadership*, to illustrate qualities that should be emulated.

5.11.2. The Air Force Historian (HQ USAF/HO) is responsible for the day-to-day management of the Reading List. Most of these books were chosen because of their readability. Their selection does not reflect the CSAF's or the US Air Force's endorsement of the authors' views or interpretations. Enlisted personnel receive their books at Airman Leadership School and the NCO or SNCO Academies. Individuals who have already attended any of these PME courses can check out these books at the base library's section devoted to the Chief's List, purchase their own copies, or borrow from another enlisted member. Most commercially published books on the list can be purchased at selected Army and Air Force Exchange Service (AAFES) military clothing sales stores and through the AAFES web site. Some personnel may want to contact the Air University (AU) bookstore at Maxwell AFB AL. The AU bookstore stocks commercial titles and can ship them. Additionally, many titles can be purchased through commercial bookstores.

5.11.3. Some of the books on the list are Air Force publications that Air Force personnel may obtain at no cost through the AU Press or the Air Force History Support Office. *Airpower Journal*, a publication to be read by all grades, is available on line. Each of the 100 plus Air Force libraries carry between three and five copies of each book on the Chief's List. Many PME courses have integrated books from the list into their curriculums. The Chief's List is also an integral part of the Air Force's "mentoring program" (AFI 36-3401, *Air Force Mentoring*) and included in the basic statement of Air Force doctrine (*Air Force Doctrine Document 1*, September 1997). In short, this program is promoted from the top to bottom and is designed to enhance the esprit de corps shared by the Air Force's officer, enlisted, and civilian personnel.

5.12. Core Values:

5.12.1. Core values are at the heart and soul of the military profession: *integrity first, service before self, and excellence in all we do*. Such values are closely intertwined since integrity provides the bedrock for our military endeavors and is fortified by service to country. This in turn fuels the drive for excellence. In light of the demands placed upon our people to support US security interests around the globe, the concept of "service before self" needs further discussion. As members of the joint team, airmen are part of a unique profession that is founded on the premise of service before self. Airmen are not engaged in just another job; they are practitioners of the profession of arms. They are entrusted with the security of the nation, the protection of its citizens, and the preservation of its way of life. In this capacity, they serve as guardians of America's future. By its very nature, this responsibility requires airmen to place the needs of service and country before personal concerns.

5.12.2. The military profession is sharply distinguished from others by what General Sir John Hackett has termed the "unlimited liability clause." Upon entering the Air Force, airmen accept a sacred trust from the American people. They swear to support and defend the Constitution of the United States against all enemies, foreign and domestic. They take this obligation freely without any reservations and thereby commit their lives in defense of America and its citizens should this become necessary.

5.12.3. No other profession expects its members to lay down their lives for their friends, families, or freedoms. But the military profession readily expects its members to willingly risk their lives in performing their professional duties. By voluntarily serving in the military profession, airmen accept unique responsibilities. In today's world, service to country requires not only a high degree of skill, but also a willingness to make personal sacrifices. Airmen work long

hours to provide the most combat capability possible for the taxpayer dollar. They go TDY or permanent change of station (PCS) to harsh locations to meet the needs of the nation. They are on call 24 hours a day, 7 days a week. Should a contingency arise that requires our immediate deployment to far corners of the globe, a military professional goes without complaint.

5.12.4. Inherent in all of this is the individual's willingness to subordinate personal interests for the good of one's unit, one's service, and one's nation. Airmen can ill afford individuals who become "sunshine soldiers" or get focused on careerism. Instead, the military needs professionals who strive to be the best at their current job and who realize they attain individual advancement through the success of their unit or work center. Careerism can be most damaging in the case of leaders. If subordinates perceive leaders as self-consumed with career concerns, they will be unwilling to forgo personal goals for the good of the unit and the Air Force. This situation is only aggravated by attempts to serve "through a position" or to do a quick "touch and go" in a key job simply to fill out a resume. Ultimately, the mission will suffer with potentially devastating consequences.

5.12.5. So what's the payoff for placing service before self? It isn't solely the paycheck or the benefits that keep professionals going. Professionals remain with the Air Force because of the intangibles—the satisfaction gained from doing something significant with their lives, the pride in being part of a unique organization that lives by high standards, and the sense of accomplishment gained from defending the nation and its democratic way of life.

5.13. Character:

Character is the bedrock on which the edifice of leadership rests . . . Without [character], particularly in the military profession, failure in peace, disaster in war, or at best, mediocrity in both will result.

General Matthew Ridgway
Former Army Chief of Staff

5.13.1. Historically, character education has always been integral to the military profession in Western culture. Aristotle, the teacher of Alexander the Great, developed a theory of philosophy in terms of excellent character traits or virtues. Aristotle believed that one can become an excellent person by performing excellent actions until doing so becomes habitual. Over the centuries, the profession of arms has developed a number of principles, traits, rituals, and codes that have served soldiers very well, in peace and war. Dating from the country's first commander in chief, the great wisdom of the sages was combined and professionals were encouraged to consider the religious and spiritual aspects of life as well.

5.13.2. Throughout history, people who have served in the military have always known that effectiveness and success rest far more on the moral quality of its people than on technical expertise. General Nathan Twining, former Air Force Chief of Staff, wrote, "technical proficiency alone is not enough." The best weapons money can buy are literally worthless unless one has people who can think critically and use them properly. One also needs military leaders who are worthy of honor and trust. As Colonel Anthony E. Hartle of West Point writes, "Persons of strong character are the ultimate resource for any military organization." Historically, character and competence have been foundations of professionalism and leadership. "The essence of professionalism," writes Lewis Sorely, "is character." In over 500 interviews with military general officers, Dr Edgar Puryear found that the most important quality in leadership, without exception, was character.

5.13.3. Personal and professional character development is essential because the organization consists of the characters of its individual members. Interestingly, the two nationally known experts in this area, Dr W. Edwards Deming and Dr Stephen Covey, believe that both organizations and people need to be changed. Further, Dr Covey states that people should be changed first: "Not only must personal change precede organizational change, but personal quality must precede organizational quality."

5.13.4. Title 10, US Code, underscores the importance of individual character development, "All commanding officers and others in authority in the Air Force are required to show in themselves a good example of virtue, honor, patriotism, and subordination; to be vigilant in inspecting the conduct of all persons who are placed under their command; to guard against and suppress all dissolute and immoral practices."

5.14. Spirituality.

For many people, religious beliefs provide a strong motivation for ethical action and character development. This does not imply that people without religious convictions do not have strong and honorable characters. According to Lt Col Terry Moore, USAF (Ret), first chief of the Character and Ethics Division, Center for Character Development, "Even those who are not 'religious' in the traditional sense often [can] have 'spiritual commitments' in a wider sense." Such people have a sense of humility stemming from an understanding of how their personal purposes fit into a context of something greater than themselves. Clearly, the spiritual dimension can provide positive motivation to do what is right. Spiritual roots can provide a solid foundation, a motivation, and a sense of meaning and purpose to do what is right.

5.15. Professional Integrity:

5.15.1. Integrity itself is a much used term but not always understood. The word "integrity" in a moral context refers to the whole moral character of a person and most frequently alludes to one's personal integrity. The statement, "don't compromise your integrity," usually means, "act in accordance with your moral principles within your value system. Be consistent." There is a real sense in which integrity encompasses personal identity. As Polonius has it, " To thine ownself be true." But consistency is not all there is to personal integrity. There is little merit in being consistent if "thine ownself" is egotistic, treacherous, criminal, and abusive. This is why integrity has to do with "wholeness," with one's entire character; what this moral character is like is what counts. Subscribing to decent moral principles is not enough, military professionals must act on decent principles consistently. Others have noted accurately that integrity is the bridge between character and conduct.

5.15.2. Centuries ago, Aristotle pointed out that moral credit is not automatic when right actions are done nor is it enough to know what is right or to say what is right. He suggested that people are morally praiseworthy when they do a right action if they know that the action is right, choose the act for its own sake because they know it is right, and do the action from a firm and unchangeable character, from the habit of doing this kind of action consistently. For Aristotle, it was very important to develop the moral virtues through habit and practice, doing right actions so that they become part of a person's identity—part of his or her character. Integrity is the modern name to describe the actions of people who consistently act from a firmly established character pattern, doing the right thing. Integrity is especially important when there is temptation to diverge from what good character demands.

5.15.3. Persons of integrity do not stray from acting in accordance with strong moral principle even when it is expedient or personally advantageous to do so. Persons of integrity act like the ideal persons they are trying to be. This is perhaps what the ancient Taoist had in mind when he said, "The way to do, is to be." Thus the wholeness of the good person, the total identity, is a person's identity. "Don't sacrifice your integrity" really means, "don't stop being who you ought to be."

5.15.4. If in preserving a way of life the government must use the military instrument, then members of the military profession must sometimes go to war. If combat occurs, then professional soldiers must fight. To refuse a combat assignment is to break faith with all other members of the profession and is a first-order violation of professional integrity. It would be equivalent to a doctor abandoning patients or a judge refusing to hear crucial cases. Because the stakes are so high in the military case, this breach of professional integrity could be devastating to society.

5.16. Personal vs Professional Integrity:

5.16.1. How are personal integrity and professional integrity related? There are varying opinions about this. Some people believe that one can live up to high standards of competence and conduct in one's professional role—at the hospital, in the school, at the military base—but live entirely different kinds of moral life outside the professional context in one's private life. Some think they may be required to do things in their roles as professionals that they would never do as private laymen. Some instances of this dichotomy are obvious. As a private person, the military member would normally not even contemplate harming other persons; yet, as a military professional, the individual is licensed to kill (under specified conditions) for reasons of state. This sort of example really is problematic for it appears to reveal a direct conflict between personal and professional integrity.

5.16.2. Perhaps this is one key to resolving integrity dilemmas—what is legally permitted is not always or even usually morally obligatory. The two types of integrity are generally compatible and interdependent. Since professions exist to serve society's need for important values (health, justice, security, etc.), the means used to provide these values and services should be morally decent and the persons in the professions who provide them should be morally

decent. Put in more direct terms, good doctors ought to be good persons, good lawyers ought to be good persons, and good military professionals ought to be good persons. Most people want to live in a world where the duties of a competent professional can be carried out by a good person with a clear and confident conscience. This means that professional practices must always be constrained by basic moral principles. Now, in the best of all possible worlds, the moral restraints on professional functions would make some actions inimical (in opposition) to professional integrity as well. This is the proper order of things. When professions go beyond their essential service function to society and distort their purpose toward profits, power, or greed, they then lose the trust and respect of their communities—they stop being professions. Militarism is the disparaging term used to describe a society or a military gone bad in the sense that it distorts the essential goals and function of the military profession. The twin sources of guidance used to hold militarism in check are the just war theories and the laws of war. These twin guides are related in an essential way to professional integrity—they represent in the broadest terms when and how the military instrument ought to be used.

5.16.3. Well-established professions often spell out the role-specific principles that support that profession's conception of professional integrity. The codes of conduct promulgated by the AMA, ABA, and state and local chapters of these groups are well known. The military profession has many codes, regulations, mottoes, and traditions that combine to form a military ethic on which professional integrity is based. When military professionals say they value integrity first, service before self, and excellence in all they do, they acknowledge that the essential nature of the military profession is to serve the parent society. They make specific their commitment to the concept that good soldiers are good persons. What we should mean when we commit ourselves to "integrity first" is that we understand the importance of both personal integrity and professional integrity, and through our efforts to keep them compatible we best provide the crucial military function to our society.

5.17. Traditional Military Values:

5.17.1. The question seems so basic, and the answer so obvious, that pages of information are not necessary. Why are traditional military values so important? Military customs, courtesies, and traditions are vitally important to the Air Force because shared traditions are some of the few things remaining that can bind airmen of widely differing skills and specialties into one professional corps.

5.17.2. One hardly needs to perform a detailed document search to discover a perceived rise in careerism and the accompanying decline in cohesion and professionalism. Many airmen associated themselves more readily and strongly with their career colleagues than with the Air Force as a whole. While one may be displeased with this fact, the fairly parochial allegiance shown by young NCOs should come as no surprise. By its very nature, the Air Force is a compartmentalized service, the greatest and most obvious distinction being between those who fly and those who do not. But while "rated or nonrated" is the most obvious distinction, it is not the only one that tends to promote compartmentalization within the Air Force. It is hardly surprising that the contracting specialist who has never administered the many Air Force personnel programs has little in common with a personnelist who, in turn, has never supervised 200 enlisted men and women around the clock as has the maintenance superintendent.

5.17.3. Is compartmentalization bad? The question is moot since career specialties are here to stay. National defense in general and the Air Force in particular are far too complex to be administered by anyone not possessing specialized skills. But specialization has its price, and lack of cohesiveness is a big part of the bill. Given the existence of some 217 career specialties based on 60 academic disciplines, the bonding effect of a solid body of traditional military values can hardly be overstated. NCOs from different career fields may have little in common in terms of job description, but they may nevertheless be bound together by the shared customs, courtesies, and traditions embodied in officer/enlisted relationships, military discipline, and professional social protocol. These topics, and many more, are no less important to one NCO than to another, regardless of career specialty. There exists over all Air Force careers a patina (valved coating) of military values and leadership skills that offers to all members a common bond of professionalism.

5.18. Conclusion.

This chapter discussed the profession of arms and professionalism. A study and an understanding of both is vital to the SNCO and to the future of the United States Air Force. Every SNCO has an obligation to the United States, to the Air Force, and to his or her supervisor and subordinates to be the very best professional possible.

Chapter 6

LEGAL ISSUES

6.1. Introduction.

The Air Force mission is to defend the United States and protect its interests through air and space power. While no one disputes getting the mission done is "job one," many aspects of carrying out this job involve legal issues. Such issues play an important part in the life of every SNCO. For example, familiarity with the law assists SNCOs when addressing disciplinary matters and tackling a wide assortment of administrative problems. To prepare SNCOs for greater responsibilities, this chapter examines the evolution of our military justice system, its constitutional underpinnings, the jurisdiction of military courts, the commander's involvement in the process, the roles of the parties in the adversarial system, post-trial matters and appellate review, assorted punitive articles of the Uniform Code of Military Justice (UCMJ), and various administrative law matters.

6.2. Evolution of the Military Justice System:

6.2.1. The strength of the military depends on disciplined service members ready to fight and win our Nation's wars. Military justice strengthens national security by providing commanders with an efficient and effective means of maintaining good order and discipline. It is a separate criminal justice system that does not look to the civilian courts to dispose of disciplinary problems. As a separate system, it allows the military to handle unique military crimes that civilian courts would be ill equipped to handle.

6.2.2. In addition, a separate system enables the military to address crimes committed by its members at worldwide locations in times of war and peace. The military needs a justice system that goes wherever the troops go to provide uniform treatment regardless of locales or circumstances. No other judicial system in the United States provides such expansive coverage. As our separate military justice system has evolved, it has balanced two basic interests: discipline (essential to war-fighting capability) and justice (a fair and impartial system essential to the morale of those serving their country).

6.2.3. While military justice can be traced to the time of the Roman armies, the historical foundation for the US military law and criminal justice system is the British Articles of War. In fact, the first codes predated the US Constitution and Declaration of Independence. These codes were the Articles of War, applicable to the Army, and the Articles for the Government of the Navy. Through WWI, these codes went through some amendments and revisions but were substantially unchanged for more than 100 years. Throughout most of this time, the United States had a very small standing military. Those who entered the military understood they were going to fall under a different system of justice with unique procedures and punishments. While some people had bad experiences with the military justice system as it existed at that time, there was no overwhelming demand for change.

6.2.4. This changed with WWII when the United States had over 16 million men and women serving in the US Armed Forces. Incredibly, there were about 2 million courts-martial during the war. More than 60 general courts-martial were conducted every day the war was fought for a total of about 80,000 court convictions during the war.

6.2.5. The soldiers and sailors of WWII were regular citizens who volunteered or were drafted. Many of these citizens had some very unpleasant experiences with the military justice system, which looked quite different than it does today. It was a system that did not offer members the protections afforded by the civilian court system, and many American citizens disapproved of the way criminal laws were being applied in the military. Following the war, many organizations studied and made proposals to improve the military criminal legal system, and Congress conducted hearings on the military justice system.

6.2.6. After unification of the Armed Services under the DoD in 1947, Secretary James V. Forrestal, the first Secretary of Defense, decided there should not be separate criminal law rules for the different branches of service. He desired a uniform code that would apply to all services and address the abuses from WWII. His efforts set the stage for a new uniform system of discipline. In 1950, Congress enacted the UCMJ; this legislation is contained in Title 10, US Code, Sections 801 through 946. The UCMJ is the military's criminal code applicable to all branches of service.

6.2.7. The UCMJ became effective in 1951 and provided substantial procedural guarantees of an open and fair process that continues today. The UCMJ required attorneys to represent the accused and the Government in all general courts-martial, prohibited improper command influence, and created the appellate court system. It established Air Force,

Army, Navy, and Coast Guard Boards of Review as the first level of appeal in the military justice system and the US Court of Military Appeals as the second level of appeal. The Court of Military Appeals, composed of three civilian judges, was perhaps the most revolutionary change because it brought the checks and balances of civilian control of the US Armed Forces into the military justice system. In October 1994, the Court of Military Appeals was renamed the US Court of Appeals for the Armed Forces (CAAF) to bring the name more in line with its civilian counterparts.

6.2.8. In addition to changing courts-martial processes and procedures, the UCMJ provided a complete set of criminal laws. It included many crimes punished under civilian law (for example, murder, rape, drug use, larceny, drunk driving, etc.), and it also punished other conduct that affects good order and discipline. These unique military crimes include such offenses as desertion, absence without leave, disrespect toward superiors, failure to obey orders, dereliction of duty, wrongful disposition of military property, drunk on duty, malingering, and conduct unbecoming an officer. The UCMJ also included provisions punishing misbehavior before the enemy, improper use of countersign, misbehavior of a sentinel, misconduct as a prisoner, aiding the enemy, spying, and espionage.

6.2.9. The UCMJ has been amended on a number of occasions. For example, the Military Justice Act of 1968 created the position of military judge, authorized trial by military judge alone, required an attorney to act as defense counsel in all special courts-martial when the authorized punishment included a bad conduct discharge, prohibited trial by summary court-martial if the accused objected, and changed service Boards of Review to Courts of Review.

6.2.10. The next significant change was the Military Justice Act of 1983 which streamlined pre-trial and post-trial procedures, permitted direct appeal to the US Supreme Court from the Military Court of Appeals and established a separate punitive article (112a) for drug offenses. In 1994, the service Courts of Review were changed to the Courts of Criminal Appeals. Today's UCMJ reflects centuries of experience in criminal law and military justice and guarantees service members rights and privileges similar to and, in many cases, greater than those enjoyed by civilians.

6.3. Constitutional Underpinnings.

Two provisions in the US Constitution grant powers to the legislative and executive branches providing the legal foundation for our military justice system.

6.3.1. Powers Granted to Congress.

The US Constitution, Article I, Section 8, provides that Congress is empowered to declare war; raise and support armies; provide and maintain a navy; make rules for the Government and regulation of the land and naval forces; provide for calling forth the militia; and organize, arm, and discipline the militias, and govern such part of them as may be employed in the service of the United States. Congress is also responsible for all laws deemed necessary and proper for carrying into execution the foregoing powers and all other powers vested by the US Constitution in the US Government. Congress has exercised its responsibilities over military justice by enacting the UCMJ.

6.3.2. Authority Granted to the President.

The US Constitution, Article II, Section 2, provides that the President serves as Commander in Chief of the US Armed Forces and of the militia of the states (National Guard) when called to federal service. By virtue of his powers as Commander in Chief, the President has the power to issue executive orders to govern the US Armed Forces as long as these orders do not conflict with any basic constitutional or statutory provisions. Article 36, UCMJ, specifically authorizes the President to prescribe the procedures, including rules of evidence, to be followed in courts-martial. In accordance with Article 36, UCMJ, President Harry S. Truman established the Manual for Courts-Martial (MCM) in 1951 to implement the UCMJ. The MCM, like the UCMJ, has undergone a number of revisions.

6.4. Jurisdiction of Military Courts.

Courts-martial jurisdiction is concerned with the question of personal jurisdiction (Is the accused a person subject to the UCMJ?) and subject-matter jurisdiction (Is the conduct prohibited by the UCMJ?). If the answer is “yes” in both instances, then (and only then) does a court-martial have jurisdiction to decide the case.

6.4.1. Personal Jurisdiction:

6.4.1.1. Personal jurisdiction involves status. That is, the accused must possess the legal status of a service member or a person otherwise subject to the UCMJ before personal jurisdiction can attach.

6.4.1.2. Article 2, UCMJ, includes the following as persons subject to court-martial jurisdiction: (1) members of a regular component of the Armed Forces, including those awaiting discharge after expiration of their terms of enlistment; (2) cadets, aviation cadets, and midshipmen; (3) members of a Reserve component while on inactive-duty training (but, in the case of members of the Army National Guard and Air National Guard, only when in Federal service); (4) retired members of a Regular component of the Armed Forces who are entitled to pay; (5) persons in custody of the Armed Forces serving a sentence imposed by court-martial; (6) prisoners of war in custody of the Armed Forces; and (7) in time of war, persons serving with or accompanying an armed force in the field.

6.4.1.3. While the UCMJ provides for jurisdiction over civilians serving with or accompanying an armed force in the field in time of war, CAAF has held that the phrase "in time of war" means a war formally declared by Congress. CAAF decided this issue in reviewing a case (*U.S. v. Averette*, 1970) in which a civilian had been tried during the Vietnam Conflict for crimes committed within the combat zone.

6.4.2. Subject-Matter Jurisdiction:

6.4.2.1. Courts-martial have the power to try any offense under the code except when prohibited from doing so by the US Constitution. Courts-martial have exclusive jurisdiction when a purely military offense such as desertion, failure to obey orders, or disrespect toward superiors is involved. However, if the offense violates both the UCMJ and a civilian code, concurrent jurisdiction may exist. For example, if an active-duty military member is caught shoplifting at an off-base merchant, the member can be tried by court-martial for larceny in violation of Article 121, UCMJ, or tried by a civilian court for a theft offense recognized in the local jurisdiction.

6.4.2.2. The determination as to whether a military or a civilian authority will try the member is normally made through consultation or prior agreement between appropriate military authorities (ordinarily the staff judge advocate [SJA]) and appropriate civilian authorities. While it is constitutionally permissible for a member to be tried by both a court-martial and a state court for the same act, as a matter of policy, a member who has been tried by a state court ordinarily will not be tried by court-martial for the same act.

6.5. Commander Involvement:

6.5.1. Military commanders are responsible for maintaining law and order in the communities over which they have authority and for maintaining the discipline of the fighting force. Reports of crimes may come from law enforcement or criminal investigative agencies, as well as reports from supervisors or individual service members. One of the commander's greatest powers in the administration of military justice is the exercise of discretion—to decide how misconduct committed by a member of his or her command will be resolved. The commander may dispose of the case by taking no action, initiating administrative action against the member, offering the member nonjudicial punishment under Article 15, UCMJ, or preferring court-martial charges. The SJA is available to advise, but the commander ultimately decides how to dispose of alleged misconduct.

6.5.2. If the commander believes preferred charges should be disposed by court-martial, the charges are forwarded to the convening authority. Convening authorities are superior commanders or officials who possess the authority to convene courts-martial (wing and numbered Air Force commanders in most cases). A convening authority convenes a court-martial by issuing an order that charges previously preferred against an accused will be tried by a specified court-martial. The convening authority must personally make the decision to refer a case to trial; delegation of this authority is not allowed. Charges may be referred to one of three types of court-martial: summary, special, or general.

6.6. Roles of the Parties in the Adversarial System.

In courts-martial, both Government and the accused have legal counsel. Military counsel must be judge advocates, graduates of an accredited law school, and members of the bar of a federal court or the highest court of a state. In addition, counsel must be certified to perform their duties by a service's Judge Advocate General. The trial counsel

prosecutes in the name of the United States and presents evidence against the accused. The defense counsel represents the accused and seeks to protect the accused's rights.

6.6.1. Trial Counsel:

6.6.1.1. Trial counsels are similar to prosecutors in civilian criminal trials. They represent the Government, and their objective is justice, not merely securing a conviction. They vigorously and forcefully present evidence they believe will persuade the court that the accused committed the alleged offenses and argue the inferences most strongly supporting the charges.

6.6.1.2. Trial counsel also presents evidence and arguments to address defenses raised on behalf of the accused. It is unprofessional conduct for trial counsel to permit the continuance of the cause of action against the accused knowing the charges are not supported by probable cause. Additionally, trial counsel has an affirmative duty to disclose to the defense any evidence that negates the accused's guilt, mitigates the degree of guilt, or reasonably tends to reduce the punishment of the accused.

6.6.1.3. No person who has acted as accuser (one who prefers charges), investigating officer, military judge, or court member in any case may act later as trial counsel or assistant trial counsel in the same case. No person who has acted for the prosecution may act later in the same case for the defense, nor may any person who has acted for the defense act later in the same case for the prosecution.

6.6.2. Defense Counsel Representation:

6.6.2.1. In a trial by court-martial, the accused is entitled to military counsel free of charge. The accused may also hire a civilian lawyer at his or her own expense. An accused may request representation by a particular military lawyer, and this officer will serve if he or she is reasonably available. Defense counsel will vigorously and forcefully defend the rights of the accused.

6.6.2.2. The area defense counsel (ADC) program, established in 1974, made the Air Force the first service to create a totally independent defense function. ADCs are assigned to the Air Force Judiciary, which falls under the Air Force Legal Services Agency in Washington DC. Although located at most major bases, the ADC works for a separate chain of command and is responsible only to senior defense attorneys. The ADC does not report to anyone at base level, including the wing commander and the base staff judge advocate. This separate chain of command ensures undivided loyalty to the client.

6.6.2.3. ADCs work to protect individual rights and ensure the independent and aggressive representation of Air Force members facing military justice and other adverse actions, thereby promoting justice and strengthening confidence in discipline. The overall effect of the ADC program is to improve the quality of life and advance the Air Force mission. Most ADCs are selected from the local base legal office; but, to ensure further independence, they are not rotated back to the base legal office when their assignments are completed.

6.6.2.4. Before selection as an ADC, a judge advocate will be carefully screened for the proper level of judgment, advocacy skills, and courtroom experience. Additionally, other experienced trial advocates (circuit defense counsel) travel to assist in the defense of particularly complex courts-martial. ADCs are supported by defense paralegals, most of which are enlisted personnel.

6.6.3. Military Judge.

A military trial judge presides over each open session of the court-martial. Military trial judges are selected from highly qualified, experienced judge advocates. Like defense counsel, military judges are assigned to the Air Force Legal Services Agency and do not report to anyone at base level. No person is eligible to act as military judge in a case if he or she was the accuser, is a witness for the prosecution, or has acted as investigating officer or a counsel in the same case. The military judge of a court-martial may not consult with the members of the court except in the presence of the accused, trial counsel, and defense counsel, nor does he or she vote with the members of the court. In noncapital cases, an accused may elect to be tried by military judge alone. If such an election is made, the military judge will make a finding of guilty or not guilty and, if guilty, determine the sentence.

6.6.4. Court Members:

6.6.4.1. Members detailed to a court-martial are those persons who, in the opinion of the convening authority, are best qualified for the duty by reason of their age, education, training, experience, length of service, and judicial temperament.

6.6.4.2. Court panels are normally only composed of officers senior to the accused. If the accused is enlisted and makes a timely request that enlisted members be included on the court, the panel must be composed of at least one-third enlisted personnel.

6.6.4.3. Court members determine whether the accused has been proved guilty beyond a reasonable doubt and, if guilty, adjudge (decide) a proper sentence based on the evidence and in accordance with the instructions of the military judge. No member may use grade or position to influence another member. Voting is done by secret, written ballot.

6.6.5. Ethical Standards.

Both trial and defense counsel are bound by the ethical standards detailed in the *Air Force Standards for Criminal Justice* (available for review at the base legal office). These standards cover a variety of matters. For example, counsel may not:

6.6.5.1. Present testimony known to be perjured or other evidence known to be false.

6.6.5.2. Intentionally misrepresent any piece of evidence or matter of law.

6.6.5.3. Unnecessarily delay or prolong the proceedings.

6.6.5.4. Obstruct communications between prospective witnesses and counsel for the other side.

6.6.5.5. Use illegal means or condone the use of illegal means to obtain evidence.

6.6.5.6. Inject his or her own personal opinions or beliefs into arguments to the court.

6.6.5.7. Appeal to passion or prejudice.

6.6.5.8. Attempt to influence court members by currying favor or communicating privately with them.

6.7. Post-Trial Matters and Appellate Review:

6.7.1. Post-Trial Matters.

The findings and sentence adjudged by a court-martial are not final until approved or disapproved by the convening authority. When taking action on a case, the convening authority must consider the results of trial, written recommendation of the SJA (required in all general courts-martial and all special courts-martial that include a bad conduct discharge), and written matters submitted by the accused. Convening authorities shall also consider the record of trial, personnel records of the accused, and other matters they deem appropriate.

6.7.1.1. The convening authority may, but is not required to, act on the findings. If the convening authority acts on the findings, he or she has discretion to set aside any finding of guilty and either dismiss any or all charges and specifications against an accused or direct a rehearing on them. The convening authority may also reduce a finding of guilty to a charged offense to guilty of a lesser-included offense.

6.7.1.2. As to the sentence, the convening authority may (1) approve the sentence without change, (2) disapprove the sentence in whole or in part, (3) mitigate or suspend all or part of the sentence, or (4) change a punishment to one of a different nature as long as the severity of the punishment is not increased. The convening authority approves the sentence warranted by the circumstances of the offense and appropriate for the accused.

6.7.2. Appellate Review.

Following the convening authority's action is appellate review. The type of appellate review depends upon the adjudged sentence.

6.7.2.1. The Judge Advocate General (TJAG) is the review authority in cases where the sentence does not include death, punitive discharge, or confinement for 1 year or more. TJAG may also elect to certify (refer) any case he or she reviews to the Air Force Court of Criminal Appeals (AFCCA). The AFCCA is an independent appellate judicial body authorized by Congress and established by TJAG pursuant to his or her exclusive authority under Title 10 United States Code 866(a) (1994). The court hears and decides appeals of Air Force court-martial convictions and appeals during litigation. The appellate judges are senior judge advocates appointed by TJAG.

6.7.2.2. Unless appellate review is waived by an appellant, the AFCCA automatically reviews all cases involving a sentence that includes death, a punitive discharge, or confinement of 1 year or more. However, appellate review cannot be waived in death penalty cases. In this forum, the appellant is provided a military counsel (free of charge) who is an experienced trial advocate and a full-time appellate counsel. Civilian appellate counsel may be retained at the appellant's own expense. The Government is represented by appellate Government counsel.

6.7.2.3. The AFCCA, which must consist of a panel of at least three military judges, reviews the case for legal error and determines if the record of trial supports both the findings and sentence as approved by the convening authority. The AFCCA has the power to dismiss the case, change a finding of guilty to one of not guilty or guilty to a lesser-included offense, reduce the sentence, or order a rehearing. However, it may not change a finding of not guilty to one of guilty. The TJAG instructs convening authorities to take action in accordance with the court's decisions.

6.7.2.4. If the AFCCA rules against the appellant, he or she may request review by the CAAF. The CAAF must review all death penalty cases and any other case directed by the TJAG of each Service. Air Force appellate defense counsel are appointed to represent the appellant before the CAAF. If an appellant's case is reviewed and relief is not granted by the CAAF, the appellant may petition the US Supreme Court for further review.

6.7.2.5. The Secretary of the Air Force (SECAF) automatically reviews cases involving dismissal of an Air Force officer or cadet. Dismissal is a punishment that punitively separates officers from the service. The dismissal cannot be executed until the Secretary, or appointed designee, approves the sentence.

6.7.2.6. If the sentence extends to death, the individual cannot be put to death until the President approves this part of the sentence. The President has clemency powers over all courts-martial cases and may commute, remit, or suspend any portion of the sentence. However, the President may not suspend the part of the sentence that provides for death.

6.8. Punitive Articles.

This section focuses on unique military offenses that do not have a counterpart in civilian law.

6.8.1. Absence Offenses.

For an armed force to be effective, it must have sufficient members present to carry out the mission. This can be accomplished only by deterring members from being absent without authority, whether the absences are permanent or temporary. The circumstances under which the absence occurs, as well as the intent of the accused, determines the severity of the offense. Absence offenses include desertion and being absent without leave (AWOL).

6.8.1.1. Desertion:

6.8.1.1.1. Desertion may occur under the following categories: (1) unauthorized absence with the intent to remain away permanently, (2) quitting the unit or place of duty to avoid hazardous duty or shirk important service, or (3) desertion by an officer before notice of acceptance of resignation. More severe punishment is

authorized if the desertion is terminated by apprehension instead of a voluntary surrender or if the desertion occurs in wartime. Desertion may be charged as a capital offense (which authorizes the death penalty) during wartime.

6.8.1.1.2. Absence with the specific intent to remain away permanently is the most commonly charged type of desertion. The unauthorized absence may be from the accused's place of duty, unit, or organization. The specific intent to remain away permanently may exist at the beginning of the absence or may be formed at any time during the absence. Thus, when a member leaves without permission, intending to return after a period of time, but later decides never to return, the member has committed the offense of desertion. However, proving intent is often difficult and may be shown by a number of factors, including the length of the absence, use of an alias, disposal of military identification and clothing items, concealment of military status, distance from duty station, and the assumption of a permanent-type civilian status or employment. The accused's voluntary return to military control is not a defense to desertion. The essential issue is whether the accused, at any time, formed the intent to remain away permanently.

6.8.1.2. AWOL:

6.8.1.2.1. Article 86, UCMJ, addresses other cases where the member is not at the place where he or she is required to be at a prescribed time. This includes failure to go to the appointed place of duty; going from the appointed place of duty; absence from unit, organization, or other place of duty; abandoning watch or guard; and absence with intent to avoid maneuvers or field exercises.

6.8.1.2.2. Proving a failure to go to an appointed place of duty requires showing the accused actually knew he or she was required to be at the appointed place of duty at the prescribed time. The offense of going from the appointed place of duty requires proof the accused left his or her place of duty without proper authority, rather than failing to report in the first place. The accused must have reported for and begun the duty before leaving without proper authority.

6.8.1.2.3. Absence from the unit, organization, or other place of duty is a common AWOL charge. The authorized maximum punishment for this offense varies with the duration of the absence.

6.8.1.2.4. “Impossibility” is a defense if the accused encountered unforeseeable circumstances beyond his or her control. For example, if Sergeant Jane Doe's authorized 10-day period of leave expired on 1 December and she failed to report to her unit until 3 December, she would not be guilty of AWOL if she could establish she was at a distant city and had purchased an airline ticket on a flight that was cancelled due to a blizzard. Even though she has impossibility as a defense, she is not excused from calling her unit and requesting an extension of leave. Impossibility would not be a defense where a military member took space-available transportation to Europe while on leave and then claimed he or she was unable to return on the date planned because he or she was unable to get space-available transportation back when he or she had hoped.

6.8.1.2.5. Other absences include abandoning watch or guard and absence from the unit, organization, or place of duty with intent to avoid maneuvers or field exercises. In addition, Article 87, UCMJ, provides that missing a movement is an offense that applies when the member, through neglect or design, misses the movement of a ship, aircraft, or unit.

6.8.2. False Official Statements.

Article 107, UCMJ, covers both the making and signing of false official statements and official documents. An “official” statement or document is any statement or document made in the line of duty. “In the line of duty” pertains to a matter within the jurisdiction of any US department or agency. It must be proven that the accused knew the statement or document was false and had a specific intent to deceive. Examples include falsely identifying oneself to a base gate guard or falsely listing a person as one's dependent to gain base privileges. However, material gain is not an element of the offense.

6.8.3. General Article.

The General Article (Article 134) is designed to address unspecified offenses punishable because of their effect on the US Armed Forces. Article 134 generally provides for those offenses not specifically mentioned elsewhere in the punitive articles of the UCMJ. A military member can be punished under Article 134 for any

and all disorders and neglects that are prejudicial to good order and discipline in the Armed Forces, for conduct of a nature to bring discredit upon the Armed Forces, and for crimes and offenses not capital.

6.8.3.1. Disorders and Neglects Prejudicial to Good Order and Discipline. Article 134 seeks to protect the internal operation of the US Armed Forces. The issue is the effect of the accused's act on good order and discipline within the Armed Forces. The effect must be reasonably direct and tangible. Disorders and neglects prejudicial to good order and discipline include breach of custom of the service, fraternization, impersonating an officer, disorderly conduct, gambling with a subordinate, and incapacitating oneself for duty through prior indulgence in intoxicating liquors.

6.8.3.2. Conduct of a Nature To Bring Discredit upon the Armed Forces. The concern here is the effect of the accused's act on the reputation of the US Armed Forces (that is, how the military is perceived by the civilian sector). The conduct must tend to bring the Service into disrepute or lower it in public esteem. Thus, violations of local civil law or foreign law may be punished if they bring discredit upon the Armed Forces, such as dishonorable failure to pay debts, indecent exposure, fleeing the scene of an accident, bigamy, adultery, or pandering.

6.8.3.3. Crimes and Offenses Not Capital. Acts or omissions not chargeable under other articles of the UCMJ, but are crimes or offenses under federal statutes, are charged under Article 134; for example, counterfeiting. This crime is not specifically listed in the UCMJ but is still a violation of federal law. Also, if a military member commits an act in an area over which the military exercises exclusive or concurrent jurisdiction with the state and no UCMJ article or federal law prohibits the act—only the law of the state prohibits the act—then the Federal Assimilative Crimes Act allows the member to be tried by a court-martial under Article 134.

6.8.4. Offenses Related to War.

The UCMJ includes a number of offenses related to war. These offenses include misbehaving before the enemy, aiding the enemy, compelling surrender, improperly using countersigns, mishandling captured or abandoned property, committing misconduct as a POW, and making disloyal statements. Two especially egregious offenses related to war are misbehavior before the enemy and misconduct as a POW.

6.8.4.1. Misbehavior Before the Enemy. Article 99, UCMJ, provides that running away before the enemy and cowardly conduct are capital offenses punishable by death.

6.8.4.1.1. The term “enemy” (as used in “running away before the enemy”) includes both civilian and military organized forces of the enemy in time of war and any opposing hostile bodies including rebellious mobs or bands of renegades. The term is not restricted to the enemy Government or its Armed Forces. If the misbehavior were caused by fear, the offense is charged as “cowardly conduct,” rather than “running away.” Whether a person is “before the enemy” is not a question of definite distance, but one of tactical relation.

6.8.4.1.2. The critical element in the offense of cowardly conduct is fear that results in the abandonment or refusal to perform one's duty. Fear is a natural apprehension going into battle, and the mere display of apprehension does not constitute this offense. Cowardice is misbehavior motivated by fear. Genuine or extreme illness or other disability at the time of the alleged misbehavior may be a defense.

6.8.4.2. Misconduct as a POW. Article 105, UCMJ, recognizes two types of offenses arising in POW situations. One offense involves unauthorized conduct by an accused who secures favorable treatment to the detriment of other prisoners. The other offense prohibits maltreatment of a POW by a person in a position of authority. The purpose of this article is to protect all persons held as prisoners, whether military or civilian and regardless of their nationality.

6.8.5. Insubordination:

6.8.5.1. Insubordinate conduct may be expressed in many different ways and toward many different persons in the military community. Insubordination is judged both by the means used and the relative relationship in the military hierarchy of the parties involved.

6.8.5.2. Article 89, UCMJ, prohibits disrespectful acts or language used toward a superior commissioned

officer in his or her capacity as an officer or as a private individual. Therefore, it is not necessary for the superior commissioned officer to be in the execution of his or her office at the time of the disrespectful behavior. However, it must be established that the accused knew the person against whom the acts or words were directed was the accused's superior commissioned officer. Disrespect may include neglecting the customary salute or showing a marked disdain, indifference, insolence, impertinence, undue familiarity, or other rudeness toward the superior officer. Truth is no defense. A superior commissioned officer is one who is superior in rank or command.

6.8.5.3. Article 91, UCMJ, similarly prohibits insubordinate conduct toward a warrant officer, NCO, or petty officer. However, unlike Article 89 violations, the insubordinate conduct must occur while the individual being disrespected is in the execution of his or her duties. In addition, Article 91 does not require a superior-subordinate relationship as an element of the prescribed offense and can only be committed by enlisted members.

6.8.5.4. Another form of insubordination involves striking or assaulting a superior officer. Article 90(1), UCMJ, prohibits assaults and batteries against superior commissioned officers in the execution of their duties, and Article 91 prohibits similar conduct toward warrant officers, NCOs, and petty officers. “In the execution of his office” includes any act or service the officer is required or authorized to do by statute, regulation, orders, or customs. An essential element is the accused's knowledge that the person is a superior officer or superior warrant officer, NCO, or petty officer. In time of war, striking a superior commissioned officer can be a capital offense. An officer's behavior may cause him or her to forfeit the protection accorded his or her status.

6.8.6. Disobedience Offenses:

6.8.6.1. Disobeying a Superior Officer. Article 90(2), UCMJ, prohibits the intentional or willful disobedience of the lawful orders of a superior officer.

6.8.6.2. Failure To Obey Orders or Regulations. Article 92, UCMJ, provides that members are subject to court-martial if they (1) violate or fail to obey any lawful general order or regulation, (2) having knowledge of a lawful order issued by a member of the Armed Forces, which is their duty to obey, fail to obey the order, or (3) are derelict in the performance of their duties.

6.8.6.2.1. Lawful General Order or Regulation. This term relates to general orders or regulations that are properly published by the President, the Secretary of Defense, the Secretary of a military department, an officer having general courts-martial jurisdiction, a general officer in command, or a commander superior to one of the former. (A squadron commander does not have the authority to issue general orders.) Once issued, a general order or regulation remains in effect even if a subsequent commander assumes command. Knowledge of the order is not an element of the offense and a lack of knowledge is not a defense. Only those general orders or regulations that are “punitive” are enforceable under Article 92(1). A punitive order or regulation specifically states a member may be punished under the UCMJ if violated. Regulations that only supply general guidelines or advice for conducting military functions are not “punitive” and cannot be enforced under Article 92(1).

6.8.6.2.2. Other Lawful Orders or Regulations. This offense includes violations of written regulations that are not general regulations. The key requirements are that the accused had a duty to obey the order and had actual knowledge of the order. Such knowledge is usually proven through circumstantial evidence. The accused cannot be convicted of this offense merely because he or she should have known about the order. Failure to obey a wing-level operating instruction that prohibits overnight guests in the dormitory is an example.

6.8.6.2.3. Dereliction of Duty. Dereliction of duty is compromised of three elements: (1) the accused had certain duties, (2) the accused knew or reasonably should have known of the duties, and (3) the accused was derelict in performing the duties, either by willfully failing to carry them out or by carrying them out in a negligent or culpably inefficient manner. “Willfully” means performing an act knowingly and purposely while specifically intending the natural and probable consequences of the act. “Negligently” means an act or omission of a person who is under a duty to use due care that exhibits a lack of this degree of care that a reasonably prudent person would have exercised under the same or similar circumstances. “Culpable inefficiency” means an inefficiency for which there is no reasonable or just excuse. Merely being inept in the

performance of duty will not support a charge of dereliction of duty. That is, officers or enlisted members cannot be punished for inadequate performance if they make a good faith effort but fall short because of a lack of aptitude or ability. Such performance may be grounds for administrative demotion or administrative discharge, but it is not a crime.

6.8.7. Lawfulness of Orders:

6.8.7.1. A lawful order must be (1) reasonably in furtherance of or connected to military needs, (2) specific as to time and place and definite and certain in describing the thing or act to be done or omitted, and (3) not otherwise contrary to established law or regulation.

6.8.7.2. An order is in furtherance of or connected to military needs when it involves activities reasonably necessary to accomplish a military mission or to safeguard or promote the morale, discipline, and usefulness of command. Such an order may interfere with private rights or personal affairs, provided a valid military purpose exists. Furthermore, the dictates of a person's conscience, religion, or personal philosophy cannot justify or excuse disobedience of an otherwise lawful order. An order requiring the performance of a military duty or act may be inferred to be lawful and is disobeyed at the peril of the subordinate. This inference does not apply to a patently illegal order, such as one that directs the commission of a crime. An accused cannot be punished for disobeying or failing to obey an unlawful order.

6.9. Conclusion.

The Air Force mission is to defend the United States and protect its interests through air and space power. Many aspects of carrying out this job involve legal issues. To prepare SNCOs for greater responsibilities, this chapter examined the evolution of our military justice system and its constitutional underpinnings, jurisdiction of military courts, commander's involvement in the process, roles of the parties in the adversarial system, post-trial matters and appellate review, and assorted punitive articles of the UCMJ.

Chapter 7

SNCO RESOURCE MANAGEMENT

Section 7A—Overview

7.1. Introduction.

Resource management is a high priority for the Air Force. In fact, the mission often depends upon sound resource management decisions. Although SNCOs do not develop the national budget (the President) or vote for weapon systems (the Congress), they play major roles in planning, developing, and executing the Air Force budget. This chapter covers resource management from the big picture perspective—the Planning, Programming, and Budgeting System (PPBS). It also covers topics SNCOs may come in contact with on a day-to-day basis—the Resource Management System (RMS), unit property, manpower, facilities, and energy conservation. SNCOs should understand the big picture and support Air Force objectives through good day-to-day resource management.

Section 7B—PPBS

7.2. PPBS Defined.

The PPBS is the DoD RMS used to identify midrange mission needs of the Air Force and other DoD agencies. AFPAM 36-2241, Volume 1, provides information on budget forecasting and manpower management. Knowledge of the PPBS enables Air Force personnel to forecast fiscal year (FY) funds, change manpower requirements, and procure equipment. DoD uses the PPBS to identify needs, determine resource requirements, and allocate resources to accomplish the mission. Participatory management involving the DoD components is used in each phase of PPBS to achieve the objective of providing the operational commanders the best mix of forces, equipment, and support attainable within resource constraints.

7.3. Background.

Before the 1960s, FY constraints were the only controls the Secretary of Defense exercised over the annual Air Force program. The budget was planned 1 year at a time, and there was no effective long-range planning. The PPBS concept was developed and implemented in the FY 1963 DoD budget under Secretary of Defense Robert McNamara. This implementation provided a clear relationship between defense plans and defense dollars. From this perspective, the PPBS ensures defense dollars are related to established war-fighting requirements and capabilities.

7.4. Key Concepts:

7.4.1. Constrained Total Obligation Authority (TOA):

7.4.1.1. TOA is the amount of money the Air Force is allowed to spend (obligate) each year. Large requirements, limited resources, and competitive program requirements characterize today's military organizations. No matter how large the defense budget, funding is constrained by a congressionally determined TOA limit.

7.4.1.2. Because there are always more programs than can be funded under the TOA, competing military programs are compared, evaluated, and restructured to get the most effective combat capability programs for the money. The competition is more than just a rivalry between two courses of action—it is competition between types of resources (for example, manpower against equipment). The number of personnel and the cost and quantity of hardware required to field or maintain a system are compared on an effectiveness basis to other systems that combine different personnel, expenses, and materiel requirements.

7.4.2. Future Year's Defense Program (FYDP).

The FYDP (pronounced "fi-dep") represents planned requirements for a 6-year period starting 2 years in the future and ending 7 years out from the calendar year. For example, in calendar year 2002, the FYDP covers years 2004-2009. A program is a series of appropriated funding lines that support a capability over the 6-year period. The aggregate of all programs in FYDP is called the Air Force Program Objective Memorandum (POM) or just the Air Force Program. The Air Force submits a POM every 2 years, with an amended POM

(APOM) submitted in odd years. Thus, the submissions look like this: 1998-2003 (POM), 1999-2003 (APOM), 2000-2005 (POM), 2001-2005 (APOM), etc.

7.5. PPBS Process:

7.5.1. The goal of the PPBS process is to achieve the defense objectives established by the President and Secretary of Defense in a document called the Defense Planning Guidance (DPG). The DPG is the major link between the National Military Strategy (NMS) and the PPBS.

7.5.2. The Air Force corporate structure (AFCS) provides the forum for Air Force resource allocation and implements the PPBS. This structure increases management effectiveness by applying judgment and experience to programs, resource limitations, and other program adjustments. The Air Force Council, the Air Force Board, the Air Force Group, integrated process teams, and 14 mission and mission support panels make up the AFCS. Mission support panels are organized around key support functions such as personnel and training, logistics, installation support, and communications and information.

7.5.3. The PPBS has three cycles each year: the POM, the budget estimate submission (BES), and the President's budget. During these three cycles, the official DoD database is updated with program changes and then is locked until the end of the next cycle. Additionally, the PPBS contains three distinct but interrelated phases: planning, programming, and budgeting.

7.6. PPBS Phases:

7.6.1. Planning Phase:

7.6.1.1. Planning produces a fiscal forecast, planning guidance, and program guidance.

7.6.1.2. The planning phase begins with the current presidential administration articulating a vision in the National Security Strategy (NSS). The NSS is an unclassified document published by the White House. The Office of the Secretary of Defense (OSD) publishes a companion document, the NMS.

7.6.1.3. The Air Force takes these broad policy statements and publishes the Air Force vision document. Our most recent vision document is *Vision 2020.* The Air Staff uses these documents to conceptualize what the Air Force should look like in 20 years and develops the Air Force Strategic Plan (AFSP). The planning phase ends with publication of the Annual Planning and Programming Guidance (APPG) in November each year. The APPG links the planning and programming phases, taking the broad outlines of the AFSP and converting them into specific programming direction for the MAJCOMs.

7.6.2. Programming Phase:

7.6.2.1. Programming creates the Air Force portion of DoD's FYDP by defining and examining alternative forces, weapons, and support systems.

7.6.2.2. The APPG initiates the programming phase, giving direction to the MAJCOMs for their POM input. MAJCOMs suggest FYDP funding lines for all programs of interest in the POM. Once all MAJCOMs, FOAs, and DRUs make their inputs, the Air Staff eliminates duplication, equalizes the capabilities across core competencies and missions, and balances resources between the four major categories (people, readiness, modernization, and infrastructure).

7.6.2.3. The POM is submitted to the OSD in May. During the summer, OSD personnel review the program and chair meetings on changes they want made to the Air Force program. At the end of the summer, the final direction is sent to the Air Force in the form of the program decision memorandum (PDM). Receipt of the PDM from the OSD officially ends the programming phase.

7.6.3. Budgeting Phase:

7.6.3.1. This phase focuses on developing the Air Force input to the President's Budget.

7.6.3.2. Budgeting formulates, executes, and controls resource requirements, allocation, and execution. Services prepare their BESs based on direction in the PDM.

7.6.3.3. The President's Budget is developed throughout the fall as the OSD Comptroller directs budgetary changes to the Air Force submission in program budget decisions (PBD). The OSD combines all Service and agency inputs into an overall DoD input for the President's Budget.

7.6.3.4. When Congress receives DoD's input, the Armed Services Committees, Authorizations Committees, and Appropriations Committees of both houses of Congress conduct hearings and formal reviews. The final budget is approved with enactment of authorization and appropriation bills and becomes law when the President signs these bills.

7.6.3.5. After the budget is approved, the Air Force tracks execution (spending of appropriated money) to ensure all funds are obligated. Funds not obligated get pulled back to pay "bills" in other areas.

7.7. PPBS Summary.

Every SNCO contributes to the PPBS. Within this system, SNCOs help establish and forecast a budget to ensure sufficient funds are available to accomplish the mission. Requirements are consolidated at the MAJCOM and sent to HQ USAF for inclusion in the POM. Thoughtful and accurate estimates on the local level are extremely important in reflecting the overall Air Force needs. Wise day-to-day resource management is essential to having an effective PPBS.

Section 7C—Day-to-Day Resource Management

7.8. Purpose.

The purpose of day-to-day resource management is to meet as many mission objectives as possible with available funds. The importance of resource management should be obvious—if planning is inadequate, funds received will also be inadequate, thus making management very difficult and adversely affecting mission performance.

7.9. RMS.

RMS refers to the management of personnel, money, and materiel. This system is specifically designed to ensure the Air Force mission is accomplished within the funding limits imposed by Congress. This is achieved through the combined effort of many installation members exercising control over available resources. RMS ensures functional area representatives are responsible for the resources required to support mission accomplishment.

7.9.1. Resource Managers (RM).

The RM's primary responsibility is to plan for and control the expenditure of funds in a manner that will meet mission objectives within financial limitations. Resource management is the responsibility of all RMs.

7.9.2. Responsibility Centers (RC).

Each unit on base, such as a supply squadron, transportation squadron, or medical facility, is referred to as an RC. RC managers appoint a resource advisor (RA) for the organization to monitor the preparation of budget estimates, participate in the development of budget targets, and monitor the day-to-day use of resources. Personnel from the installation comptroller and the accounting liaison office contact RAs on matters pertaining to resource management. An effective RA must understand terminology, accounting structure, reports, budgeting process, financial committee functions, and funds reprogramming and management. RC managers take the lead in encouraging good financial management within their units.

7.9.3. Cost Centers (CC).

The CC is a unit section or work center that reports fiscal matters to the RA. The CC manager or work center supervisor is vital to the RMS. Managers and supervisors regulate the day-to-day consumption of work hours, supplies, equipment, and services. They are in the best position to make budget estimates and forecasts because they monitor the daily use of items such as parts, equipment, and supplies. CC managers must be aware of possible changes in the mission or workload to successfully predict future needs.

7.9.4. Internal Management Data.

Internal management data reflects the unit workload and is generally not available in formal base financial reports. Normally, the RA maintains internal information concerning annual funds expenditure (for example, civilian overtime requests, paid temporary duty [TDY] vouchers, lists of contracts with descriptions, contract maintenance data, mission changes impact, financial program's inflation impact, and workload data). Workload data includes information such as the number of customers served and number of line items processed, and it serves as the basis for determining cost data in preparing budgets and financial plans.

7.9.5. Accounting System.

RMs use accounting system reports to monitor and control their funds, such as TDY travel and supplies. Reports show spent funds, amount remaining, and a comparison between spent funds and the operating budget's projected spending. The accounting system provides financial information the RC manager, CC manager, and financial analysis officer use to review fund status reports and monitor unit budgets. These reports generally include the funding target, amount spent, and unpaid balances.

7.9.6. Financial Analysis:

7.9.6.1. Financial analysis is more than just studying dollar costs. It involves the full act of analyzing the operations, programs, and plans that cause the dollar costs. The figures shown on financial status reports are, to a large degree, a mirror of executed programs.

7.9.6.2. The first step in analyzing the financial reports is to examine the figures. If targeted amounts are exceeded, either the program is ahead of schedule or more money is being spent than planned. It is important to learn what is happening. To accomplish this, RMs must analyze the related expenses to actual production for the time period of the financial reports. They must check the dollar, then the production status.

7.9.6.3. Is the job costing more than planned? Is more maintenance required than expected? What is the problem? These are questions that must be answered before choosing a course of action.

Section 7D—Government Property and Equipment

7.10. General Responsibilities:

7.10.1. The Air Force mission makes it imperative that all military and civilian personnel operate and maintain Government systems, equipment, supplies, and real property in the best possible condition, in constant readiness, and in the absolute minimum quantity necessary to accomplish assigned tasks.

7.10.2. Commanders are responsible for managing public property under their control, including proper care and use, providing instructions to subordinates on their specific responsibilities, and maintaining records that may be audited. Commanders and supervisors establish controls to eliminate uneconomical equipment management. They must also ensure all personnel are taught proper care and safeguard principles. Commanders and supervisors must enforce these principles. Installation supply squadrons often offer training on a variety of topics for different management levels. Commanders appoint representatives and, with the supervisors, ensure the representatives attend the proper training. For example, primary and alternate equipment custodians attend mandatory special training provided by the installation's chief of supply.

7.10.3. AFMAN 23-110, Volume 2, Part 13, BASIC, *Standard Base Supply Customer's Procedures,* specifies the policy and procedural guidance for managing organizational equipment under the Air Force Equipment Management System (AFEMS). The AFEMS provides a standard equipment management system applicable to all Air Force activities. It is web enabled and requires a password for access. It provides worldwide visibility of all in-use and warehoused equipment assets and is used to report capitalized asset depreciation, determine equipment requirements based on Air Force allowance standards (AS), support the budget/buy program, and report equipment types and quantities required to accomplish the mission. ASs are provided both on line in the AFEMS and off line via compact disk-read only memory (CD-ROM). ASs include specific items and authorized quantities required for the wartime and peacetime needs of each unit.

7.11. Property Accounting.

The organization commander or equivalent designates a property custodian for Government property used by the unit and listed on AS documents. On assuming responsibility and at least annually, the designated property custodian must perform an inventory of all assets. The custodian signs the custodian authorization/custody receipt listing (CA/CRL), acknowledging completion of the inventory and signifying all items listed are being used properly and maintained in serviceable condition. The property custodian is relieved of responsibility only when the account is transferred to another custodian, the custodian issues or turns in items and obtains a signed receipt, or the property custodian provides authorized adjustment documents (turn-in receipts, transfer documents, etc.).

7.12. Report of Survey (ROS).

A ROS is used to research and investigate the cause of loss, damage, or destruction of Government property and determine if it was attributable to an individual's negligence or abuse. The final report is used to assess financial liability against the persons responsible or to relieve them from liability if there is no evidence of negligence, willful misconduct, or deliberate unauthorized use of the property. A ROS also serves as a source document to adjust accountable records and provides a tool for commanders to identify deficiencies that require corrective action to prevent recurring incidents. AFMAN 23-220, *Reports of Survey for Air Force Property,* identifies procedures for processing a ROS and implementing the ROS program.

7.12.1. When To Complete a ROS:

7.12.1.1. With some exceptions, a ROS must be completed for all Government property lost, damaged, or destroyed. The property can be real or personal. Air Force real property includes buildings and items attached to them, such as air-conditioners and compressors. Personal property is anything that is not real property, such as parkas, tools, desks, equipment, and vehicles.

7.12.1.2. A ROS is not necessary when:

7.12.1.2.1. The individual responsible for the loss or damage makes voluntary payment and loss, damage, or destruction of property is $500 or less. This policy does not prevent the initiation of a ROS when the loss is less than $500, if there is evidence of negligence, or there is a systematic loss of property by the same individual over a period of time.

7.12.1.2.2. When investigation of the loss, damage, or destruction of a vehicle indicates there is no evidence of gross negligence, willful misconduct, or deliberate unauthorized use, the commander may still take action against individuals in these cases using punitive or administrative options.

7.12.1.2.3. Assessment of financial liability will not be used instead of or as a form of disciplinary action.

7.12.2. Initiating a ROS:

7.12.2.1. Generally, the organization possessing the lost or damaged property is responsible for initiating a ROS even if the property is deployed or issued on a hand receipt outside the organization.

7.12.2.2. Depending on the organizational structure, the commander normally initiates the proceedings by appointing an investigating official. The investigating official can be any disinterested officer, SNCO, or civilian (GS-7 or above). The disinterested investigator must be an impartial individual who has no interest or involvement in the custodianship, care, accountability, or safekeeping of the property in question.

7.12.2.3. The investigation must be conducted in a timely manner following discovery of the loss or damage to ensure all concerned persons are available and the facts are still clear in their minds.

7.12.3. ROS Investigation:

7.12.3.1. The investigating official is responsible for documenting the important facts and circumstances by determining what happened, how, where, when, who was involved, and if there was any evidence of negligence, misconduct, or deliberate unauthorized use or disposition of the property. The investigating

official interviews people having knowledge of the case, including anyone who may have lost, damaged, or destroyed the property.

7.12.3.2. The investigating official then makes a recommendation as to whether an individual should be held financially liable by completing Block 9 of DD Form 200, **Financial Liability Investigation of Property Loss.** The investigating official will also recommend actions (in Block 10 of DD Form 200) to be taken to prevent recurrence.

7.12.4. Liability:

7.12.4.1. Pecuniary (pertaining to money) charges may be assessed if an individual is found guilty of gross negligence, willful misconduct, or deliberate unauthorized use.

7.12.4.2. If an individual admits responsibility for loss, damage, or destruction of public property entrusted in his or her care, pecuniary charges will be assessed against the individual for payment.

7.12.4.3. When pecuniary liability is admitted and the loss does not exceed $500, relief from responsibility may be obtained by processing DD Form 362, **Statement of Charges for Government Property Lost, Damaged, or Destroyed,** or DD Form 1131, **Cash Collection Voucher.** When the dollar value exceeds $500, DD Form 200 will be initiated according to AFMAN 23-220.

7.12.5. Processing the ROS:

7.12.5.1. After the investigation is complete, the investigating official allows the persons involved to review the case and provide verbal or written information to refute the findings and recommendations. After incorporating the rebuttal information into the DD Form 200, the investigating official forwards the findings to the responsible officer.

7.12.5.2. The responsible officer reviews the findings and forwards the report to the ROS program manager who ensures the report is properly completed and a legal review is obtained if financial liability is recommended. This occurs before sending the case to the approving authority (the commander).

7.12.5.3. When an individual is found financially liable by the ROS proceedings, the approving authority will notify the individual in writing. The individual has 30 days to appeal the decision. If remittance is not received within 30 days, the member is notified of the financial liability. If no appeal is submitted, the approving authority will send a completed copy of the DD Form 200 to the financial services officer for involuntary collection action.

Section 7E—Resource Management Team (RMT)

7.13. Purpose.

The RMT is a problem-solving team designed to improve base-level resource management by providing training and specific assistance. The aim is to train and motivate personnel by observing and cross-feeding innovative resource management methods and ideas. Cross-feeding information is very important. Identifying various resource management practices and techniques observed throughout the base, recommending improvements, and making this information available upgrades financial awareness and skills. The key to a successful RMT is open information exchange and the base's application of its own expertise in identifying and resolving resource management problems.

7.14. RMT Services.

The RMT usually consists of consultants from comptroller, supply, transportation, base civil engineer (BCE), contracting, and personnel offices. The installation comptroller offers RMT services at least annually to all onbase major RCs and supported tenants. The RC manager may accept or decline the visit. Refer to AFI 65-601, Volume 2, *Budget Management for Operations,* for more information on the RMT.

Section 7F—Manpower Management

7.15. General Information.

Manpower management is an essential part of resource management and key to mission accomplishment. Every SNCO must understand the basics of identifying and managing manpower to meet the mission. This section provides an overview of manpower management. It provides general information on the unit manpower document (UMD), funded and unfunded requirements, manpower changes, and the installation manpower and organization (MO) office services.

7.16. UMD:

7.16.1. The UMD is a computer-generated product extracted from the Manpower Data System (MDS) and is a key product used in the management of manpower resources at all organizational levels. It lists the number and type of manpower (enlisted, officer, or civilian), authorized and required grades, and Air Force specialties (AFS) required by personnel accounting symbol (PAS), functional account code (FAC), and organizational structure code (OSC). Additional data codes are also used to further define positions and organizational structure, such as duty titles, supervisory positions, organizational structure titles, authorization effective dates and program element codes (PEC). The UMD does not reflect information about the individuals who are filling the authorized positions. The unit personnel management roster (UPMR), generated by the personnel community, provides specific data associated with assigned personnel.

7.16.2. Unit commanders and supervisors receive a UMD from the installation MO office on an as-needed basis. The UMD displays current and projected requirements and can be configured to display desired fields in various formats. Work center supervisors should periodically review their UMD to ensure it accurately reflects unit requirements. Typically, the unit manpower point of contact (POC) serves as liaison between the unit and MO office; thus work center supervisors should coordinate any UMD changes, etc., with their unit manpower POC.

7.17. Funded and Unfunded Requirements and the Enlisted Grades Allocation Program:

7.17.1. Funded requirements are referred to as authorizations. Military and civilian personnel flights can only assign personnel against funded requirements. Unfortunately, total requirements often exceed what the Air Force can fund, which means a work center may have unfunded requirements. The Air Force allocates authorizations to each MAJCOM, FOA, or DRU. The MAJCOM further distributes authorizations to subordinate levels based on mission requirements. Therefore, one subordinate unit may be funded at a lower percentage than another, producing a higher ratio of unfunded requirements. Work centers having higher levels of unfunded requirements may need to prioritize their workloads to meet mission requirements. If mission requirements cannot be met, unfunded requirements on a unit's UMD can be used as justification for manning assistance or temporary overhires.

7.17.2. Air Force, MAJCOM, and unit actions can affect authorization levels. Some actions not only affect authorization levels, but can also impact the funded grade. A grade imbalance between what is required and what is funded (authorized) can occur as a result of legislative and budgetary constraints on the allocated grades. For example, CMSgts are congressionally constrained to 1 percent of the total enlisted force. The Enlisted Grades Allocation Program is designed to ensure enlisted grades are equitably allocated to HQ USAF, MAJCOMs, FOAs, and DRUs, and at the same time ensure constraints are met.

7.17.3. HQ USAF implements congressional and DoD grade constraints by creating grade factors. Two types of factors created and distributed are: (1) overall command grade factors for each enlisted grade and (2) career progression group (CPG) factors for each AFSC, to the first three digits. Command grade factors ensure authorized grades do not exceed command-ceiling constraints. A CPG factor ensures equitable allocation of the grades within each AFSC in each command. Both types of factors are applied to the budgeted end-strength. Air Force career field managers can recommend adjustments to HQ USAF/DPM, but when making adjustments, they must maintain a zero balance of total grades allocated for each command.

7.18. Initiating and Tracking Manpower Changes:

7.18.1. A unit will periodically need to change an existing requirement on the UMD. An authorization change request (ACR) is used to request this change. The unit identifies the requested change and provides detailed justification and installation functional POC information to the servicing MO office. The MO office evaluates the request, enters it into

the MDS, and makes a recommendation for approval or disapproval to the MAJCOM. The MAJCOM/MO POC evaluates the request and coordinates it with the appropriate MAJCOM functional manager before finalizing the request. ACR formats often vary from one MAJCOM to another; the servicing MO office can provide specific formats and procedures.

7.18.2. Many actions necessitate an ACR. Some of the most frequent are AFSC changes, position realignments, redistribution of funding from a funded requirement to an unfunded requirement, and grade conversions. Many factors must be considered when a unit proposes a change. Common considerations include: (1) determining how the change affects the organizational structure, (2) ensuring the manpower realignment does not exceed the requirements allowed by Air Force manpower standards, (3) ensuring the requested change does not cross program elements, and (4) ensuring the requested change does not adversely impact the unit's ability to deploy or perform its wartime mission.

7.18.3. The most significant consideration is to ensure the ACR is fully justified and is a zero balance action—no net increase in resources, grades, etc. For example, if a unit wants to fund a position that is currently unfunded, a funded position must be identified for conversion to unfunded and detailed rationale for the change provided. This "tradeoff" position should be in the same grade and program element as the position to be funded. The installation functional POC should work closely with the servicing MO office when developing an ACR. The installation functional POC must also coordinate the ACR with the commander of each unit affected by the change before submission to the servicing MO office.

7.18.4. If the request is approved, the MAJCOM POC updates the change in the MDS and the servicing MO office will receive an authorization change notice (ACN) generated by the MDS. The MO office will send a copy of the ACN to the affected unit's POC. The ACN details the approved change, rationale for the change, and the name of the MAJCOM project POC. To ensure the accuracy of the UMD, unit POCs should update their UMD as soon as they receive an ACN. If the request is disapproved, the MAJCOM provides rationale to the submitting unit through the servicing MO office.

7.19. MO Office.

The installation MO office performs a variety of functions to help effectively manage manpower resources. The core competencies of the MO community encompass organization structure, requirement determination, program allocation and control, and performance management. Personnel within the MO office provide day-to-day manpower resource management services involving UMDs and assist with ACRs, ACNs, and organizational structure changes. They also provide other management services, to include management consulting services, performance management assistance, commercial activity services, and Innovative Development through Employee Awareness (IDEA) Program management. Contact the servicing MO office to learn more about its many management services.

Section 7G—Competitive Sourcing (CS)

7.20. Purpose.

CS is a program that maximizes cost-effectiveness and efficiency and enhances mission capability by taking advantage of services available through the private commercial sector. The four principal goals of CS are to sustain readiness, improve performance and quality by doing business more efficiently and cost-effectively, generate savings for force modernization, and focus available personnel and resources on core Air Force missions. A function that is competitively sourced and remains in-house will be converted to an all-civilian (DoD) workforce unless a waiver has been granted for military to be assigned to the in-house organization. An important CS byproduct is force-size reduction. CS is not about the elimination of a service or function; it is about the most effective and efficient procurement of a service or function through a competitive process. CS will not affect military-essential skills or those functions that are inherently governmental.

7.20.1. Military-Essential Skills. Military-essential skills are defined as skills that:

7.20.1.1. Directly contribute to the prosecution of war (combat or direct combat support).

7.20.1.2. Exercise UCMJ authority.

7.20.1.3. By law must be filled with military people.

7.20.1.4. Are military by custom or tradition (bands and honor guards).

7.20.1.5. Are needed to support overseas rotations and to sustain certain career fields.

7.20.1.6. Are not available in the private sector.

7.20.2. Inherently Governmental Function.

An inherently governmental function is one that must be performed by Government personnel, either military or civilian, and includes activities that require making decisions or obligating money on behalf of the Government. For example, warranted contracting officers are inherently governmental because they are responsible for making decisions on behalf of the Government. That is, they are the signature authority for committing Government funds. The entire contracting staff, however, does not necessarily satisfy the same criteria. Contracting personnel who do research and provide information, advice, etc., to the warranted contracting officers do not necessarily have to be Government personnel.

7.20.3. Defining the Difference Between CS, Outsourcing, and Privatization:

7.20.3.1. CS is the program that looks for the most cost-effective way to run a work center—either in-house or through a commercial contractor. In effect, it is the "competition" of these two "sources" for the stated work. If the function is not retained in-house, it will either be outsourced or privatized.

7.20.3.2. The fundamental difference between outsourcing and privatization is who controls the assets and processes.

7.20.3.2.1. If the CS result favors the commercial contractor, the function will be "outsourced." Outsourcing means the Government contracts with the private sector to provide a service, but retains ownership and control over the operations of the activity. The primary method the Government follows in CS is to compare the cost of an in-house most efficient organization (MEO) to a contractor's performance to determine the most efficient and cost-effective mode of operation.

7.20.3.2.2. In privatization, the Government again relies on the private sector to provide a service. However, the Government divests itself of the entire process, including all assets. With privatized functions, the Government may specify quality, quantity, and timeliness requirements, but it has no control over the operations of the activity. Also, the Government may not be the only customer. Whomever the Government chooses to provide the services would likely provide the same services to others.

7.20.3.2.3. An example will illustrate some key differences between outsourcing and privatization. If we outsourced vehicle maintenance, contractor personnel would use our facilities, and they would service only our vehicles. If we privatized vehicle maintenance, we would simply take our vehicles to a commercial mechanic where we would get in line just like we do with our personal vehicles.

7.20.4. CS Process Is Mandated.

The Office of Management and Budget's (OMB) Circular A-76, *Performance of Commercial Activities,* and AFI 38-203, *Commercial Activities Program,* define a structured process for determining whether to perform work in-house or through contract. No such process exists for privatizing functions. Today, most of the Air Force support services are readily available commercially and can often be provided more economically from commercial firms.

7.20.5. Responsibilities.

At the Air Staff, HQ USAF/DPM is responsible for implementing the CS program. At MAJCOMs, the manpower function is responsible for CS issues. At installations, the servicing MO office is responsible for CS issues.

7.21. CS Study:

7.21.1. A CS study compares the cost of the Government operation of an activity and the cost of a private sector bid to perform the same activity. The study results determine whether a commercial activity can be done more economically and efficiently by contract or by an in-house workforce. A CS study falls into two categories: cost comparison and direct conversion.

7.21.2. Several rules that determine whether a process can be directly converted or if the cost of an in-house operation must be compared to a commercial source. The significance between them is the number of civilian employees involved in the work center to be studied. If there are more than 10 civilian employees, a cost comparison must be performed. The study will include developing a proposal for an MEO and soliciting bids from commercial firms. When an activity involves 10 or fewer civilians, the activity can be directly converted to contract operations by soliciting bids from commercial firms.

7.21.3. A commander may nominate an activity for direct conversion if the activity is completely performed by military personnel, completely performed by 10 or less civilian employees, or partially performed by 10 or less civilian employees and any number of military, nonappropriated fund (NAF) civilian employees, and/or non-US employees. The conversion must be cost effective. A direct conversion is not required in these instances; it is simply an option. A commander has the option of performing a standard cost comparison on any activity that meets the requirements for a direct conversion.

7.22. CS Impact:

7.22.1. Air Force policy is to minimize both the adverse effects on personnel and the disruption to the affected organizations. Every effort will be made to find suitable employment for those permanent personnel adversely affected by an activity's conversion from in-house to contract performance. Also, adversely affected personnel are provided the Right of First Refusal for contractor jobs in the event the Government is unable to place them in other federal positions.

7.22.2. CS generates savings by finding better ways to accomplish a particular function, thereby reducing the number of people needed. A CS study also frees up military personnel to perform core military-essential activities. In a CS study, the mission remains essentially unchanged; it is the composition of the workforce that changes. Where "blue suiters" were doing the mission, civilians (either contract employees or civil servants) will now do the mission. Additionally, contract personnel could replace civil servants.

Section 7H—Facility Management

7.23. Installation Commander.

The installation commander has overall responsibility and accountability for the operation of an Air Force installation. The installation commander, assisted by the BCE, is responsible for:

7.23.1. Ensuring the effective and efficient use of Air Force real property.

7.23.2. Identifying, planning, and programming real property maintenance, repair, and minor construction necessary to properly support assigned missions and people.

7.24. Using Organization:

7.24.1. Facility management begins with the using organization. The using organization is responsible for identifying space requirements and facility work requirements to effectively support its mission. Required facility work can range from maintenance and repair to alteration, renovation, or even new construction.

7.24.2. The commander is responsible for the organization's facility or facilities. Each commander will assign a facility manager for each facility belonging to the organization. Facility managers submit work requirements either verbally or in writing to the BCE facility maintenance unit.

7.24.3. All facility modification and repair work requires a facility manager to submit an AF Form 332, **Base Civil Engineer Work Request.** AF Form 332 helps prevent conflict with other work planned for a facility and ensures the

work meets fire, safety, health, and environmental standards. The facility manager can also notify the BCE of emergency work requirements by telephone 24 hours a day, 365 days a year.

7.25. BCE Squadron:

7.25.1. The BCE operations flight serves as the single POC for all maintenance, repair, alterations, and new construction. The facility manager may call in a work request directly to the operations flight job control or identify needed work to the civil engineer facility maintenance manager during a periodic facility inspection. In either event, operations flight job controllers and supervisors screen work requirements to decide if the work will be direct scheduled or planned work.

7.25.2. Direct scheduled work, like fixing a leaky faucet, requires little detailed planning and normally requires less than 50 man-hours. Planned work, like moving a doorway from one wall to another, requires detailed planning and may take several weeks or more to schedule craft workers and acquire materials.

7.25.3. When work exceeds the scope or capability of the operations flight, the operations flight chief passes the request to the engineer flight for planning and programming and incorporation in the BCE's facility project proposal list.

7.26. Planning and Programming Facility Projects:

7.26.1. Planning refers to the identification of facility work to satisfy current and future mission requirements. BCEs use several methods to identify facility requirements including annual space utilization surveys, biennial commander's facility assessments, environmental compliance status assessments, and user- or occupant-identified requirements.

7.26.2. During programming, the authority and resources necessary to accomplish the planned work are acquired. After the requirements are identified, the BCE develops facility project proposals and presents them to the installation commander for validation, prioritization, and approval by the proper authority. A key element of programming facility requirements is proper work classification. Work authorization, approval levels, and fund sources vary with work classification. Real property maintenance work is classified as maintenance, repair, or construction. Operation and maintenance (O&M) appropriation-funded unspecified minor military construction projects may not exceed $500,000 in cost except for active component projects intended solely to correct a deficiency that is life, health, or safety threatening, in which case the cost may not exceed $1 million. Projects solely to correct a life, health, or safety threatening deficiency that cost more than $500,000 must have the prior approval of SAF/MII and require congressional notification.

7.27. Real Property Records:

7.27.1. The BCE must accurately record changes in real property use and physical changes (including building additions, renovations, and upgrades), disposal, and ownership changes (transfer of real property) on real property records.

7.27.2. Real property records form an audit trail that includes when a facility was built and the cost of any alterations and improvements accomplished by minor construction, to include self-help or Government purchase card (GPC) work.

7.27.3. Facility managers must notify the BCE, through the operations flight, of any changes to their facilities. The base leadership, MAJCOMs, Air Staff, DoD, and Congress use data from these records to make critical planning, programming, and budgeting decisions.

Section 7I—Energy Conservation Program

7.28. Background.

DoD and Air Force recognized the need for an effective energy conservation program during the 1973 oil embargo by oil-producing exporting countries. From 1973 through 1975, the Air Force initiated numerous conservation actions, which resulted in a 29-percent decrease in the use of petroleum products and ensured continued operational readiness.

7.29. Air Force Need for Program.

Although this crisis passed, the Air Force dependence on oil energy remains. The need for an effective energy program is as important now as it was during the oil embargo. Executive Order (EO) 12902, *Energy Efficiency and Water Conservation at Federal Facilities,* March 8, 1994, directed all federal agencies to reduce energy consumption in federal buildings and facilities 30 percent by 2005. By meeting this goal, the Federal Government will save American taxpayers approximately $800 million in annual energy costs and cut federal energy consumption by the equivalent of 100,000 barrels of oil a day.

7.30. Air Force Consumption of Petroleum.

The Air Force is the largest consumer of petroleum inside the DoD, accounting for approximately 56 percent of total DoD consumption, with a yearly cost of over $2 billion. The only area where the Air Force spends more total dollars is in personnel. In FY00, the Air Force consumed more than 60 million barrels of petroleum products. On the average, aviation fuel constitutes 73 percent of the total energy cost, utilities 25 percent, and ground equipment 2 percent.

7.31. Increasing Energy Efficiency.

The Air Force must increase energy efficiency to ensure mission resources are available at a reasonable cost. Consequently, the Air Force developed several programs to meet specific requirements within the Air Force and DoD.

7.32. Air Force Policy.

The Air Force general policy is to make every effort to meet or exceed established conservation goals without degrading military readiness, safety, and effectiveness. This policy includes management actions, investment in energy conservation technology and equipment, and creation of information and recognition programs that promote energy conservation and management awareness.

7.33. Energy Management Program.

The energy management program encourages personnel to use energy efficiently, both at work and at home, without degrading operational readiness. It also encourages practical facilities and operations energy conservation alternatives with an emphasis on petroleum conservation through the use of alternative, more abundant, or renewable energy sources. Structured to comply with DoD guidance, the program reflects a long-term commitment by the Air Force. It calls for organizations to continuously publicize Air Force and federal energy goals, policies, and new energy information to maintain the interests of unit members in conserving energy. It also requires organizations to inform their members about the energy climate and educate them about the direct relationship between energy and national defense policy.

7.34. Energy Management Steering Group (EMSG).

The HQ USAF EMSG provides top-level program management oversight. The EMSG develops energy conservation strategies, publishes guidance, and monitors energy program performance in meeting goals and objectives. The wing commander (or designee) chairs the base EMSG. This group formulates base energy policies, ensures base programs carry out energy policy, and designates a base energy manager. The base energy manager manages the day-to-day activities of the base energy plan and is the most important individual in the Air Force energy program.

7.35. Conclusion.

All supervisors, managers, and commanders are responsible for safeguarding Air Force resources and exercising sound resource management practices. Remember, the amount of money spent and the other resources used (unit property, manpower, facilities) affect the entire mission. SNCOs have a daily role to play in the overall system. They must plan for future requirements and ensure allocated resources are used properly. If correctly accomplished, the result will be a stronger and more efficient Air Force.

Chapter 8

CIVILIAN PERSONNEL MANAGEMENT

Section 8A—Overview

8.1. Introduction:

8.1.1. This chapter provides an overview of the Air Force civilian personnel management system. Today, perhaps more than ever, the Air Force must maximize its civilian employees' efficiency and effectiveness. About one-third of the total Air Force end-strength is civilian. In some units, the civilian percentage is much higher. Therefore, the first step in avoiding management pitfalls is to understand the structural framework, specific objectives, and programs that make up the civilian personnel management system.

8.1.2. Information in this chapter includes civilian resource management; position descriptions (PD) and core personnel documents (CPD); standard core personnel documents (SCPD); staffing; training and development; civilian career programs; sustainment; performance planning, appraisals, and awards; employee conduct and discipline; equal employment opportunity (EEO); substance abuse; and compensation, work hours, and leave administration.

8.1.3. This chapter concludes with a discussion of the labor-management relationship, a brief look at the employment of foreign nationals, and the Air Force's CS and privatization efforts to obtain service in the most effective manner.

8.1.4. Many civilian personnel management procedures are affected by the provisions of local collective-bargaining agreements with labor unions representing employees. Before taking any action, the local bargaining agreement and servicing civilian personnel flight (CPF) should be consulted to ensure compliance with these and any other local requirements.

Section 8B—Civilian Programs

8.2. Civilian Resource Management:

8.2.1. MAJCOMs and installations budget for civilian employees' pay. The Air Force objective is to manage civilian human resources within its civilian pay budget, while striking an optimum balance among mission needs, economy and efficiency of operations, balance of skills and career paths, employee development and motivation, and recruitment and retention of a diverse workforce of competent personnel. Authority, responsibility, and accountability for civilian resource management are delegated through MAJCOM and installation commanders to the lowest practicable organizational level. These levels constitute budget units for employment planning and budget development and execution.

8.2.2. The civilian human resource budget (HRB) includes the total obligation authority comprised of direct obligating authority (DOA) dollars and earnings from reimbursements and revolving funds. The primary controlling factors in civilian human resource employment planning and execution are financial resources availability (validated by the installation financial management board) and civilian manpower requirements (validated by the installation manpower office).

8.2.3. Managers and supervisors are tasked with fiscal accountability in the execution of their civilian HRB and the establishment of effective workforce structures. Structuring the workforce to be mission- and cost-effective involves interweaving military and civilian authorizations. Consideration must also be given to the number and size of subordinate units, number and grade levels of civilian positions, and ratio of professional to administrative positions and supervisory to nonsupervisory positions.

8.2.4. Civilian appointments (permanent, term, and temporary) are appropriated for the projected duration of the required workload and available funding. Positions funded through realignment of a DOA source other than civilian pay are not considered permanent positions and employees should be appointed accordingly. The Air Force uses the resource allocation process (RAP) to prioritize funds. These decisions are reflected in the Future Years Defense Program (FYDP). Therefore, long-term human resource decisions requiring reprogramming of funds from other than civilian pay dollars must be approved through the RAP for inclusion in the FYDP.

8.2.5. Civilian personnel, manpower, and comptroller specialists provide integrated human resource advisory services to managers and supervisors. Civilian cost analysis (CIVCOST) decision support software is available to track and

project the budget unit's total civilian pay and benefits costs. Contact a CPF specialist for assistance.

8.3. PDs and CPDs:

8.3.1. A PD is a description of officially assigned duties and responsibilities and is used to determine classification and qualification factors. In the Air Force, managers and supervisors use a single form, the CPD, to integrate the duties and responsibilities, performance plan, and recruitment knowledge, skills, and abilities.

8.3.2. PDs or CPDs are required by the Office of Personnel Management (OPM) for all civilian positions, and they are well-established management tools. Position classification, to include assignment of pay plan, title, occupational series, and grade to a position, can only be accomplished if there is an accurate PD or CPD for the position.

8.3.3. PDs or CPDs also serve other needs, such as providing useful information to improve work methods and organizational design, evaluating employee qualifications, explaining assignments to new employees, and promoting clarity and uniformity of understanding. Keeping position information current is obviously important. When PDs or CPDs are out of date, they no longer reflect management's intentions and could result in incorrect classification. Consequently, it is critical that supervisors ensure the accuracy of each PD or CPD because they are responsible for determining the duties and responsibilities of each position.

8.4. Supervisory Responsibilities for PDs and CPDs.

Each supervisor should:

8.4.1. Carefully review the PD or CPD for any vacant position before taking action to fill the vacancy.

8.4.2. Review each PD or CPD at least annually and notify the CPF when there are significant changes in duties and responsibilities assigned.

8.4.3. Assign definite duties, responsibilities, and authorities to positions conforming with the position's purpose as identified in manpower documents and prepare clearly defined PDs and CPDs or select applicable standardized PDs or CPDs for use.

8.4.4. Consider the impact on all other positions before assigning grade-impacting duties.

8.4.5. Advise the manpower and CPF staffs of any proposed position or organizational changes.

8.4.6. Advise employees of their assigned duties and responsibilities, right to review classification standards, and right to appeal position classification decisions.

8.5. SCPDs:

8.5.1. The Air Force Personnel Center's Civilian Personnel Office (HQ AFPC/DPC) has developed a library of SCPDs applicable to many Air Force positions. SCPDs are developed by using representative position descriptions and performance plans from across the Air Force. Each SCPD is reviewed by Air Staff officials responsible for the work involved to ensure it reflects Headquarters Air Force's intent for work accomplishment.

8.5.2. The SCPD Library is an excellent labor-saving device for supervisors and should be the first stop for help in developing CPDs. In fact, HQ USAF/CV Memo, 30 September 1996, requires maximum use of SCPDs, where applicable. Supervisors must obtain approval from the appropriate host or tenant commander if an applicable SCPD is not used for a position.

8.6. Developing Unique CPDs:

8.6.1. The SCPD Library also contains CPDs that cover work commonly found in the Air Force. If the work you supervise is not covered by an SCPD, you will need to develop your own CPD. CPDs are written in different formats depending on the type of work involved. Three CPD formats, each with different requirements, are used in the Air Force. The three formats are:

8.6.1.1. The Federal Wage System format for trades and labor work.

8.6.1.2. The Factor Evaluation System (FES) format for General Schedule (GS) work covered by standards written in FES format.

8.6.1.3. The narrative format for GS work covered by standards written in narrative format.

8.6.2. Guidance on how to prepare unique CPDs can be found on the Air Force Civilian Personnel Management Information Support System (PERMISS) application located at **http://www.afpc.randolph.af.mil/permiss/** or from the servicing classification office. PERMISS also contains a template to assist in the development of unique CPDs.

8.6.3. Another source for preparing CPDs is the COREDOC software developed by DoD. However, documents created in COREDOC require editing to place them in the proper format to meet Air Force requirements for classification, performance management, and staffing. Therefore, supervisors should consider creating the CPD using the templates in PERMISS and using the COREDOC software as a reference guide.

8.7. Staffing:

8.7.1. The civil service term "staffing" means the same as the military term "personnel procurement." It marks the beginning of the life-cycle approach to civilian career management. The Air Force fills positions from any appropriate recruitment source and grade levels with people who are highly qualified and representative of the civilian labor force in conformance with established priorities and merit system principles.

8.7.2. To reduce the amount of time involved in the staffing process, supervisors should contact the CPF as soon as they discover a pending or actual vacancy. It is also important to keep employees' PDs and CPDs up to date so the hiring process will not be delayed by required revisions. It is most important to work hand in hand with the CPF to ensure established procedures are followed and potentially time-consuming grievances or EEO complaints are avoided.

8.7.3. The staffing process begins when the supervisor sends a SF 52, **Request for Personnel Action,** or a personnel action request (PAR) along with a PD or CPD to the CPF (or AFPC) in accordance with local directives. The supervisor and CPF staff complete a job analysis by determining appropriate knowledge, skills, and abilities needed to perform the duties of the position, as appropriate.

8.7.4. Civil service is an open-entry system allowing an employee to enter at any grade level from a variety of recruitment sources. After all mandatory placements, such as those required by the DoD Priority Placement Program or Reemployment Priority List, have been cleared, the CPF (or AFPC) compiles a list of qualified candidates based on merit and qualification. Depending on the situation, the area of consideration may be limited to candidates from within the unit, other Air Force organizations, Civilian Career Program certificates, other federal agencies, or even the private sector.

8.7.5. Once the supervisor receives the list of candidates, he or she should confer with the CPF to determine specific interview and selection procedures. Depending on the circumstances, the supervisor may interview the candidates. Some interview requirements may be defined by a locally negotiated agreement with the representative union. If an interview is used as part of the selection process, the supervisor will arrange the interviews. The CPF may require a review of the interview questions the supervisor plans to ask. All candidates should be asked the same questions and the interview periods should be of relatively equal length.

8.7.6. Once a selection is made, the supervisor fills out the appropriate documentation so the CPF can validate the selection and process the necessary paperwork. This may include memorandums of nonselection to all candidates who were considered but not selected.

8.7.7. Centrally managed career programs cover most civilian officer-equivalent positions in the GS-12 through -15 grades. When filling any of these jobs, the SF 52 or PAR goes through the CPF to the HQ AFPC operations branch responsible for the career program fills. This organization will issue a list of candidates from an Air Force federal and nonfederal applicant pool as appropriate. Before the deployment of the modern system, an internal Air Force candidate cannot be considered for a career program job without first being registered in the particular career program. After the modern system is deployed, career program registration will not be required to self-nominate for a covered position. However, registration will be required for career program training, interview scores (for example, the Logistics whole-person score, executive corps qualifications, etc.).

8.8. Training and Development.

Air Force policy provides for necessary training to ensure maximum efficiency of civilian employee performance. Supervisors are responsible for systematically determining training requirements and working with the CPF or education and training function to identify appropriate training sources. Within funding limits, every employee who requires training will receive an opportunity for training without regard to race, color, religion, sex, national origin, age, disability, or other unrelated factors.

8.8.1. Identifying Training Requirements:

8.8.1.1. Supervisors should request, schedule, and conduct training and development activities only after needs (whether present or future) have been clearly identified and defined. The supervisor determines the need through an intensive analysis of specific skills and knowledge requirements and their relationship to the mission and available human resources.

8.8.1.2. The first step in defining training requirements is to compare present and future mission requirements versus the current employee skill levels and projected employee turnover rates (e.g., retirements, PCS, etc.). Other training needs become evident after a more detailed analysis of individual performance levels is matched against skill or knowledge requirements.

8.8.1.3. A training need exists when employee skill levels do not match required mission or performance levels. Reorganization, mission changes, new technology, excessive backlogs or waste, bottlenecks in production, or poor work organization are just a few of the many indicators of possible training needs. Inadequate performance, however, is not always a characteristic of a knowledge deficiency that requires training.

8.8.1.4. The civilian career programs administer leadership and managerial training development for covered occupations and issue a training guide each year to assist in documenting training needs.

8.8.1.5. A training-needs survey is conducted annually and provides an opportunity for the supervisor to project training requirements for the upcoming fiscal year. The employee development specialist (EDS) will provide information on available training opportunities. Mission-essential training, however, can be scheduled at any time, and the supervisor need not wait for the training survey.

8.8.1.6. Although first-line supervisors are the key individuals in determining development needs, a comprehensive analysis cannot be done in isolation. Supervisors may need information from higher level management, other supervisors, or the employees themselves. The servicing EDS is available to assist in training needs analysis and identification of methods and training sources. In all situations, a thorough analysis of the situation should be conducted before committing training resources. Also, contact the EDS for availability of funds.

8.8.1.7. Not all training and development needs can or should be met through Air Force sponsorship. Employees are responsible for independently pursuing training and education that will prepare them for promotion or develop them for career transitions. Such self-development activity is employee initiated and accomplished during off-duty hours. Supervisors should encourage civilian employees to participate in self-development activities, when appropriate.

8.8.2. Training Sources.

Once training needs are identified, the next step is to determine training sources. The three primary sources of training are agency, interagency, and nongovernment.

8.8.2.1. Agency Training. Agency training is conducted by the employer and may include on-the-job training (OJT), in-house training, and Air Force formal schools.

8.8.2.1.1. OJT and in-house training are often the most effective because the supervisor tailors the training to meet the specific job requirements. OJT can be as casual as giving a few pointers to a new worker or as formal as a fully structured training program with timetables and specified subjects. It can also include directing employees to appropriate publications for self-study.

8.8.2.1.2. Some functional activities also use in-house training. This type of training is very effective when a large number of employees need instruction on common aspects of occupational skill requirements. The servicing EDS can provide assistance in developing OJT and/or in-house training.

8.8.2.1.3. More formalized agency classroom training is also available through Air Force formal schools listed in the database *Education & Training Course Announcements (ETCA)* located at **https://etca.randolph.af.mil/**. These courses are administered through the Training Management System and include training offered by Air Education and Training Command (AETC) and the Air Force Institute of Technology (AFIT).

8.8.2.1.4. The civilian career programs plan for and sponsor developmental assignments, tuition assistance, formal training, and education to develop current and future managers. Other leadership and management development opportunities, including intermediate service school and senior service school, are sponsored through the Civilian Competitive Development Program (CCDP). Information on CCDP programs is available at **http://www.dp.hq.af.mil/dps/ccdp.htm**.

8.8.2.2. Interagency Training. This training may be needed if agency sources are not adequate to meet identified training needs. Interagency training includes all training sponsored by US Government agencies outside the employing agency. OPM, other Services, and the US Department of Labor are just a few sources from which to obtain training. The CPF training office has additional information on interagency training sources and curriculum.

8.8.2.3. Nongovernment Training. Federal regulations require agencies to consider and select government training sources before turning to nongovernment alternatives. However, nongovernment sources may be considered when agency or interagency courses cannot satisfy the training need or when nongovernment training is more advantageous. Nongovernment sources incorporate a wide range of seminars, conferences, courses, and workshops as well as curricula offered by private educational institutions.

8.9. Civilian Career Programs:

8.9.1. Supervisors should also be aware of the various career programs available to civilian employees. The goal of career programs is to hire, develop, advance, and retain high quality civilians for current and future key leadership and management positions. Headquarters US Air Force, Directorate of Personnel Force Management, and functional managers work together to determine policies for career programs. HQ AFPC's Civilian Career Management Directorate administers career program activities. Two significant contributions of career programs to Air Force mission readiness are: (1) utilization of planned civilian career management and force renewal through centralized recruitment, and (2) the training of mobile career interns. The career programs provide an excellent means for management to replenish its workforce and effectively plan for and control the effects of attrition.

8.9.2. Most officer-equivalent GS-12 to -15 jobs are covered by 17 civilian career programs. With the participation of functional managers at all levels, each career program develops career paths and ladders; develops promotion plans and evaluation criteria; and sponsors education, training, and development opportunities. The functional administrators on the PALACE teams (AFPC career program teams) serve as POCs for field employees who have questions regarding career opportunities.

8.9.3. Program coverage differs among each functional area but generally includes the management of officer-equivalent positions and employees.

8.9.4. The local CPF should refer to the AFPC career program web site at **www.afpc.randolph.af.mil** for all information concerning career programs, registration, training and development, intern opportunities, and other advisory services.

8.10. Sustainment:

8.10.1. Sustainment is a continuous activity of setting standards, advancing careers, evaluating performance, providing incentives and rewards, maintaining discipline, and managing other day-to-day programs.

8.10.2. The essence of sustainment is ensuring employees perform at their peak performance levels. Therefore, sustainment strategies address both the tangible and intangible means of motivating employees throughout their civil

service careers. These programs include a blend of basic compensation, merit promotion, and performance management systems. Various benefits and quality of working life issues such as retirement systems, thrift savings program, health and wellness programs, and life and health insurance coverage all promote positive sustainment of the civilian workforce.

8.11. Performance Planning, Appraisals, and Awards.

The employee is advised of the duties and responsibilities of the job and his or her supervisor's expectations (performance plan). Employees are apprised annually at the end of the appraisal cycle on how well they performed their duties. Supervisors may reward employees for performing their duties well; however, a performance award is not mandatory.

8.11.1. Performance Planning:

8.11.1.1. This is a continuous process in which managers and supervisors define performance elements (duties), set performance standards (expectations), and communicate elements and standards in writing to the employee.

8.11.1.2. Performance elements are descriptive and they relate to what needs to be done. Supervisors set the performance elements (duties and tasks) for the civilian employees they supervise. In developing an employee's performance elements, supervisors determine the major and important requirements of the employee's job based on the employee's direct contribution to the organization's or work unit's objectives.

8.11.1.3. Performance standards prescribe how a particular element or duty is to be accomplished. Set by supervisors, the standards must reflect levels necessary for acceptable performance. When possible, supervisors should identify observable behaviors which lead to success on the job. ***NOTE:*** Elements and standards are documented in writing on AF Form 860, **Civilian Performance Plan,** unless a CPD is used. A CPD will contain both the PD and the performance plan.

8.11.2. Performance Appraisals.

These serve as the basis for making personnel decisions to train, reward, assign, promote, retain, and remove employees. The performance appraisal is the basis for a total performance management program to identify and correct work performance problems, recognize and reward quality performance, improve productivity, and grant periodic pay increases. Supervisors review the employee's performance of each element and rate the performance against each element's standards and then render an overall summary rating. AFI 36-1001, *Managing the Civilian Performance Program,* provides guidance for evaluating civilian employee performance and describes the requirements for new supervisor probationary periods.

8.11.3. Awards:

8.11.3.1. Performance awards (performance cash award, time-off award, quality step increase [QSI]) can be used as tools to motivate employees to perform above an acceptable level, as well as compensate them for performing beyond expectations. Effective management of the performance awards program can help improve productivity and morale in the organization and serve to motivate employees to continue to perform above what is expected.

8.11.3.2. Performance cash awards are recommended in conjunction with annual performance ratings for GS and Federal Wage System (FWS) employees. An employee may be given a performance cash award, a time-off award, or both, as appropriate. A QSI may be recommended with the annual rating for GS employees at or above step four of their grade. A QSI should be recommended for employees who display the highest quality of performance, significantly above that ordinarily found in the type of position to which the employee is assigned.

8.12. Employee Conduct and Discipline.

These are essential for maintaining public confidence in the Air Force. To effectively manage civilian employees, supervisors must establish standards of conduct based on Air Force directives. Furthermore, they must know what to do and what not to do when an employee's conduct violates established standards. Employees must comply with

prescribed standards of conduct in all official matters. They are expected to maintain high job standards, be honest, and possess integrity according to the Code of Ethics for Government Service in DoD 5500.7-R, *Joint Ethics Regulation (JER).*

8.12.1. Employee Conduct:

8.12.1.1. Civilian employees must recognize that public office is a public trust and they earn this trust by adherence to reasonable standards of conduct. These standards appear in DoD 5500.7-R and AFI 36-703, *Civilian Conduct and Responsibility.* Employees may not canvass, solicit, or peddle among employees at Air Force activities during work hours. They may participate in public or civic activities to support or oppose causes, policies, or Government programs if this participation does not interfere with mission accomplishment, bring discredit to the Air Force, or create an actual or apparent conflict of interest with the employee's official duties.

8.12.1.2. Civilian employees must be present for duty unless authorized to be absent. They must follow directives and comply with orders or instructions. They are expected to perform assigned duties effectively and meet performance standards. They must also comply with appropriate apparel and grooming standards derived from consideration for health, safety, and their type of job. A breach of these conduct standards can lead to disciplinary action.

8.12.2. Employee Discipline:

8.12.2.1. Disciplinary action is taken to correct an employee's misconduct or performance when the employee can control the essentials of the performance problems and has the skills, knowledge, and capacity to perform well but is unwilling to do so. The guidance is found in AFI 36-704, *Discipline and Adverse Actions.*

8.12.2.2. The Air Force goal in the area of civilian discipline is to attain and maintain a constructive work environment. If a disciplinary or adverse action must be taken against a civilian employee, it must be done without regard to race, color, religion, sex, national origin, age, disability, or other factors (such as marital status or politics), except as required by law. Actions based on an employee's inability to perform because of a physical or mental disability should only be taken when the employee's disability cannot be reasonably accommodated.

8.12.2.3. The employee must receive advance notice of impending actions. Disciplinary or adverse actions must be prompt and equitable, complying with the intent and letter of all governing requirements, and respect must be given to the private nature of the actions.

8.12.2.4. Proper administration of discipline is a chief concern of labor organizations representing Air Force employees. Procedures governing disciplinary and adverse actions are common features of most Air Force labor agreements. Moreover, a basic tenet of federal labor relations law states that an employee who is a member of a bargaining unit has a right to union representation, upon the employee's request, during an investigatory interview where the employee reasonably believes disciplinary action may result from the interview.

8.12.2.5. The oral admonishment—the least severe disciplinary action—is often adequate to affect improvement or correction of work habits or behavior. For significant misconduct or repeated infractions, a written reprimand may be an appropriate penalty.

8.12.2.6. Written reprimands are recorded in the employee's personnel records for a specified period as directed by AFI 36-704 or an applicable negotiated labor-management contract.

8.12.2.7. Suspension is a disciplinary action that may be imposed for more serious infractions when the situation indicates that a lesser penalty is not adequate. A suspension is a particularly severe disciplinary action that places the employee in a nonpay and nonduty status.

8.12.2.8. For employees who have received oral admonishments, written reprimands, or suspensions and whose behavior continues to be inappropriate, removal may occur. Like all other disciplinary actions, the supervisor must ensure it is warranted and well documented. Reprimands, suspensions, and removals must be

coordinated with the CPF and the staff judge advocate so a procedural violation or an administrative oversight does not jeopardize a valid disciplinary action.

8.12.2.9. Employees have the right to appeal or grieve disciplinary actions they consider unjust by using applicable procedures. The CPF is the appropriate office to advise supervisors on appeal or grievance procedures.

8.13. EEO.

Within recent years, probably no area has received as much emphasis at all levels of Government as EEO. Rather than attempting to interpret legislative or administrative rulings applicable to EEO, this information centers on a broad view of the Air Force EEO structure applicable to civilian employees. AFI 36-1201, *Discrimination Complaints,* Equal Employment Opportunity Commission (EEOC) directives, and interim Air Force guidance provide the basis for this information. The following paragraphs provide information on the EEO positions within the Air Force EEO structure:

8.13.1. HQ USAF Director, Personnel Force Development.

This person develops Air Force policy and programs including adaptation of EEOC guidelines on affirmative employment plans and discrimination complaints. At HQ USAF level, civilian affirmative employment program planning and EEO policies are coordinated with military personnel officials to ensure a Total Force approach.

8.13.2. MAJCOM and Base-level EEO Program Managers.

At MAJCOM and base levels, the directors of civilian personnel and civilian personnel officers appoint members of their staffs to serve in EEO program positions. MAJCOM responsibilities include ensuring resource availability for EEO programs, training EEO counselors, analyzing affirmative employment plans, and monitoring EEO and affirmative employment progress. At base level, the affirmative employment chief coordinates development and implementation of the affirmative employment program and affirmative employment plan. This individual must also participate in community activities and maintain an awareness of minority groups' and women's expectations and concerns.

8.13.3. Chief EEO Counselor.

This person is a key individual in the EEO structure. He or she reports to the wing commander and performs counseling activities related to discrimination complaints and complaints processing. The counselor's actions include attempts to resolve complaints in the informal complaint phase.

8.13.4. EEO Advisory Committee.

This committee is responsible for a variety of actions to include reviewing affirmative employment progress and evaluating complaint trends. Committee membership includes the installation commander or designee, civilian personnel officer, supervisors, union representatives, chief EEO counselor, Affirmative Employment Program (AEP) chief, special emphasis program managers (SEPM), and employee representatives.

8.13.5. SEPMs:

8.13.5.1. SEPMs perform a vital role in planning and implementing the AEP. They serve as advisors to both management and the workforce, operating under the direction and guidance of the AEP chief.

8.13.5.2. SEPMs are appointed in the following categories: Persons with Disabilities program manager, Federal Women's Program manager, Black Employment Program manager, and Hispanic Employment Program manager. An American Indian/Alaskan Native Employment Program manager and an Asian/Pacific Islander Employment Program manager are also designated if needed.

8.13.6. Complaint Administration.

Despite the existence of an active EEO education and awareness program, discrimination can still occur.

Employees who believe they were discriminated against have the right to file a complaint. Employees who are covered by a labor agreement permitting discrimination complaints under its negotiated grievance procedures may file a grievance. They may also file a discrimination complaint under procedures in AFI 36-1201. They cannot file under both procedures. When an employee chooses the AFI 36-1201 process, the following guidance applies:

8.13.6.1. To preserve the right to file a formal complaint, the complainant must contact an EEO counselor within 45 days of the alleged offense. The EEO counselor will first attempt to solve the matter informally. If the complainant is not satisfied with this action, the complainant may file a formal complaint.

8.13.6.2. The Defense Office of Complaint Investigations (OCI) investigates all formal complaints. The OCI investigators issue an investigation report to the wing commander who, in turn, gives a copy to the complainant. The complainant can then request a formal hearing by the EEOC or be issued the final agency decision.

8.13.6.3. If the EEOC conducts a hearing, it notifies the Air Force Deputy for Review Boards (SAF/MIB) of its decision. In turn, this office may appeal the decision to the Office of Federal Operations on behalf of the Air Force.

8.13.6.4. The complainant may appeal the EEOC decision to the Office of Federal Operations of the EEOC and subsequently file a civil action.

8.13.6.5. Any time the administrative complaint process exceeds 180 days, the complainant has the right to file a civil action.

8.13.6.6. Complainants alleging age (40 and over) discrimination may bypass the administrative process and file directly in court.

8.14. Substance Abuse:

8.14.1. The Air Force establishes policies and procedures on prevention, reduction, and control of substance abuse among civilian employees, including the rehabilitation of abusers. The program objective is to improve the health, productivity, and quality of the civilian workforce.

8.14.2. Every civilian employee's performance must, at all times, support the mission with a high level of productivity, reliability, and judgment. The Air Force performs initial assessment of employee substance abuse problems and provides evaluation and referral service. The cost of any alcohol or drug treatment program is the employee's responsibility. Civilian employees concerned must acknowledge the problem and seek help or face discipline, which may include removal. The range of disciplinary action will depend on the specific circumstances of each case. An employee may be removed or an applicant may be denied employment under the substance abuse program.

8.15. Compensation, Work Hours, and Leave Administration.

Noticeable differences exist in compensation, work hours, and leave between Air Force civilian and military personnel. The following are a few of the most notable differences:

8.15.1. Compensation:

8.15.1.1. Pay:

8.15.1.1.1. The Federal Employees' Pay Comparability Act of 1990 revised the manner in which salary levels (GS) are determined. The legislation introduced several new pay flexibilities to enhance employee recruitment and retention. One example is recruitment and relocation bonuses. In addition, an annual adjustment to pay schedules normally provides general increases to the GS. On 1 January 1994, locality adjustments were added in the continental United States, based on a survey comparison with nonfederal salaries.

8.15.1.1.2. In addition to the comparability adjustments, individual employees are eligible for longevity

increases called within-grade increases (WGI) when their performance is acceptable, as reflected in their annual performance rating. Pay rates for FWS employees are adjusted each year based on locality wage surveys conducted by the DoD Wage-Setting Division. FWS employees are also eligible for WGIs.

8.15.1.2. Injury:

8.15.1.2.1. Civilian employees who are injured or develop an occupational illness as a result of job-related factors may be eligible for compensatory payments (injury compensation) under the Federal Employees' Compensation Act.

8.15.1.2.2. Supervisors are responsible for enforcing safety and health regulations. On receiving a report of an injury or illness, the supervisor must ensure the employee receives prompt medical care. In addition, the supervisor must complete the supervisory portion of the proper US Department of Labor forms and provide the forms to the employee. All injuries and illnesses should be reported promptly to the injury compensation program administrator in the CPF.

8.15.2. Work Hours:

8.15.2.1. Civilian work hours are more precisely defined and less flexible than those of active-duty military personnel. Civilian work schedules are defined in such terms as administrative workweek, basic workweek, regular tour of duty, uncommon tour of duty, and part-time tour of duty.

8.15.2.2. Most civilians work a regular tour of duty. Normally, this is five 8-hour days, Monday through Friday. Uncommon tours of duty (a 40-hour basic workweek that includes Saturday and/or Sunday or fewer than 5 days, but not more than 6 days of a 7-day administrative workweek) are authorized when necessary for efficiency or cost reduction.

8.15.2.3. Special circumstances permit part-time, intermittent, or special tours of duty. Installation and tenant commanders establish, by written order, daily work hours to include designated rest and lunch periods. The order can also establish alternative (flexible or compressed) work schedules. Employees must receive at least 1 week's notice before their tour of duty is changed except as provided under an alternate work schedule or for educational purposes. AFI 36-807, *Weekly and Daily Scheduling of Work and Holiday Observances,* provides guidance on these topics.

8.15.3. Leave Administration.

Civilian leave provisions are more complex than those for military personnel. The guidance can be found in AFI 36-815, *Absence and Leave.* The amount of annual leave full-time civilian employees receive depends on their length of service. All full-time employees also earn 13 days of sick leave a year. The Air Force pay system charges this leave in 15-minute increments. Keep in mind that labor agreements may specify procedures and conditions for requesting leave and related matters.

8.16. Summary:

8.16.1. This section presented a broad structural overview of Air Force civilian personnel management. The numerous guidelines and policies presented affect both the Air Force civilian and the military supervisor. From the information in this section, it should be apparent that there are considerable differences between the military and civilian workforces. Supervisors must integrate all members' efforts toward common goals and objectives.

8.16.2. This information is not intended to make any supervisor an "instant expert" in civilian personnel matters but should help military supervisors recognize a potential problem situation and seek the advice of appropriate civilian personnel specialists when warranted.

Section 8C—The Labor Union

8.17. Union and Government Relationship.

Many Air Force supervisors wonder why they should be concerned with labor unions. Considering the fact that approximately 70 percent of all Air Force civilian employees are members of a union's bargaining unit, Air Force

supervisors must have an insight into the aims and objectives of unions and a thorough understanding of good labor relations. Success as a supervisor may depend on the relationship management has with the union. Guidance is provided in AFI 36-701, *Labor Management Relations.*

8.17.1. Management vs Union Objectives:

8.17.1.1. Management goals are to maintain, preserve, and strengthen the organization. Beyond this, management wants to retain control and make corporate decisions in its best interests. Management also wants to maintain harmonious relations with the union to promote productivity within the workforce.

8.17.1.2. Traditionally, unions seek to strengthen and preserve themselves while providing for the social and economic needs of their members. Improved working conditions, safety, and job security are among the primary union objectives. Unions often promote broad social and economic reforms.

8.17.2. Partnerships:

8.17.2.1. On 1 October 1993, President William Clinton signed EO 12871, *Labor-Management Partnerships,* mandating the establishment of labor-management partnerships throughout the executive branch. This EO created partnerships where management and labor work together to help reform government. By jointly crafting solutions to identified problems to better serve the agency's customers and mission, these partnerships have changed the traditionally adversarial relationship between union and management.

8.17.2.2. As a means to reaffirm EO 12871, a Presidential memorandum entitled, *Reaffirmation of Executive Order 12871 - Labor-Management Partnerships,* was signed by President Clinton on 28 October 1999. Soon thereafter, President George Bush signed EO 13203, *Revocation of Executive Order and Presidential Memorandum Concerning Labor-Management Partnerships,* on 17 February 2001. In essence, the latest EO abolishes the requirement to form partnerships and bargain over permissive subjects. Notwithstanding this, commanders still have the discretion to adopt a labor relation strategy best suited to meet their needs. In fact, today, many base activities are continuing with some form of labor-management cooperative setting to promote a more amicable working relationship.

8.18. Key Players:

8.18.1. Commanders.

Commanders administer the labor relations program under Air Force direction. They make decisions affecting the labor relations climate, such as selecting management representatives for base-level negotiating teams. Commanders often deal directly with local union officers.

8.18.2. Supervisors.

Supervisors help formulate official policy and represent management in the administration of policy and labor-management agreements. Although commanders are ultimately responsible for the labor relations program, supervisors implement it in day-to-day activities.

8.18.3. Bargaining Unit Member.

This is an employee who is part of a formally recognized employee group. The group shares clear and identifiable interests and has elected to organize as a unit. This unit may consist of both union and nonunion employees. Nevertheless, a union representing a unit of employees, by law, is entitled to act for and negotiate collective-bargaining agreements covering all unit employees.

8.18.4. Labor Relations Specialists.

These individuals advise commanders, supervisors, and other members of management on labor relations. Most Air Force bases have labor relations specialists assigned to the CPF. Virtually every aspect of labor relations should be discussed and coordinated with labor relations specialists. They are frequently the spokespersons for management at the bargaining table and the focal point for processing grievances at the local level.

8.18.5. Union Steward:

8.18.5.1. A variety of union officials may act for and make commitments for the unions. These include elected officers such as the president, vice presidents, treasurers, etc., and appointed officials such as stewards and union delegates to special meetings or projects.

8.18.5.2. It is important to clearly understand the authority of the union officials involved with unit issues. As a democratic organization, the union official may be required to present issues to a committee, such as a bargaining committee, for approval. At other times, the official may have been delegated authority to make commitments. Understanding the authority will help alleviate misunderstandings and perceptions that the union is uncooperative.

8.18.5.3. Union officials are exercising their rights granted under law, and management may not take any reprisal action against union officials, nor any employee, for union activities. Many managers will have their most frequent contacts with union stewards and should cultivate a good working relationship characterized by mutual trust, respect, and professionalism.

8.18.5.4. One of the duties of the steward is to raise employee concerns in the early stages of policy formulation and to resolve employee complaints. Managers should strive to work with union officials, particularly where grievances have been filed, in a professional, nondefensive manner.

8.19. Labor Contract:

8.19.1. Collective Bargaining:

8.19.1.1. This is the negotiation process by which management and union officials come to an agreement. The labor agreement, commonly called the labor contract, is the result of collective bargaining. This contract serves as a means of communication between labor and management, and it sets policy for both sides. It documents the results of the labor-management negotiations for review by supervisors and union leaders.

8.19.1.2. Management and union officials should develop a clear, concise labor contract because its administration, from negotiations through implementation, often determines the labor relations climate. Additionally, neither side should loosely interpret the labor contract, as it represents a mutual agreement.

8.19.2. Administration of the Labor Contract:

8.19.2.1. Administration begins when management relates the contract terms to the employees. First-line supervisors are tasked to ensure working conditions are in accordance with the union contract. Supervisors should study the labor contract and become familiar with all the provisions, particularly those concerning overtime, seniority, grievance procedures, and disciplinary actions.

8.19.2.2. Grievances and complaints should be settled at the lowest level possible. When an employee submits a grievance, the first-line supervisor should immediately consult the labor or employee relations specialists in the CPF to ensure compliance with local procedures and time limits. Therefore, the initial resolution burden rests with the first-line supervisor. To adequately prepare, supervisors should read pertinent regulations and follow them to the letter.

8.19.3. Grievances:

8.19.3.1. The grievance procedure is a method for identifying a complaint by an employee in a simple, clear, and fair way. A grievance may identify an employee's dissatisfaction with areas such as safety, merit promotion system, and/or management's compliance with the labor contract or other directives. Federal law requires grievance procedures be established in labor contracts, allowing employees to bring their complaints to management's attention. If a civilian employee is not covered by the labor contract, AFI 36-1203, *Administrative Grievance System,* specifies how to file the grievance.

8.19.3.2. When an employee submits a grievance, everyone in the immediate chain of command and the labor relations or employee relations specialist at the CPF should be notified in accordance with the specific procedures established in the labor contract or in AFI 36-1203.

8.19.4. Alternative Dispute Resolution (ADR):

8.19.4.1. ADR involves obtaining the services of a disinterested third party, agreed on by both parties involved in the dispute, who assists the parties in reaching a solution. The third party, or mediator, does not decide for the interested parties. He or she merely helps the disputing parties reach a mutually agreeable solution while the parties still have a measure of control over the outcome.

8.19.4.2. The Air Force encourages ADR approaches such as mediation, settlement conferences, or other dispute techniques whenever possible. This process has proven to be more cost effective than litigation and more successful in the long term because each of the parties has a stake in the outcome.

8.19.5. Arbitration:

8.19.5.1. This is the final step in the formal negotiated grievance process. Arbitration simply means that both management and labor agree to let an outsider settle the grievance. Fees and expenses for arbitration are normally borne equally by management and the union, unless otherwise specified by the labor contract.

8.19.5.2. The labor contract provides procedures for submitting grievances to arbitration. The parties will jointly or individually ask the Federal Mediation and Conciliation Service or the appropriate regional office of the American Arbitration Association to provide labor and management with the names and brief biographies of five to seven prospective arbitrators.

8.19.5.3. The collective-bargaining agreement should set forth procedures by which labor and management representatives select an arbitrator. The arbitrator conducts the hearing, allowing both parties to call witnesses and to provide evidence to support their positions. After the hearing, the arbitrator must issue a written decision within 30 days, unless the parties provide for a shorter or longer period in their collective-bargaining agreements. Unless either party appeals, the arbitrator's decision is final and binding.

8.20. Unfair Labor Practices (ULP).

The Federal Labor Relations Authority (FLRA) General Counsel investigates any alleged ULP, regardless of whether management or the union makes the charge. If the FLRA General Counsel determines there may be justification for the charge, it will hold a hearing and make a final ruling on the matter. This ruling is binding on all parties unless it is subjected to judicial challenge by any one of the parties.

8.20.1. Management will not:

8.20.1.1. Interfere with, restrain, or coerce employees with respect to union membership.

8.20.1.2. Discriminate in conditions of work because of union membership, including hiring, tenure, promotion, and other conditions.

8.20.1.3. Sponsor, control, or assist labor organizations except to provide routine services and facilities that are also furnished to other labor organizations on an impartial basis.

8.20.1.4. Discriminate (or discipline) because an employee files a complaint or grievance.

8.20.1.5. Refuse to bargain (negotiate) in good faith.

8.20.1.6. Fail or refuse to cooperate in impasse procedures and decisions.

8.20.1.7. Enforce rules and regulations dated after the collective-bargaining agreement that are in conflict with this agreement.

8.20.1.8. Fail to comply with Title VII, Civil Service Reform Act (CSRA).

8.20.2. Unions will not:

8.20.2.1. Interfere with, restrain, or coerce employees with respect to union membership.

8.20.2.2. Cause management to discriminate against or coerce employees.

8.20.2.3. Discriminate, discipline, or take any action to hinder or impede an employee's work performance.

8.20.2.4. Discriminate with regard to, or in terms of, conditions of union membership based on race, color, religion, gender, national origin, age, handicap, marital status, or other similar factors.

8.20.2.5. Refuse to bargain (negotiate) in good faith.

8.20.2.6. Fail to cooperate in impasse procedures and decisions.

8.20.2.7. Participate in or fail to take action to prevent a strike, work stoppage, slowdown, or picketing that interferes with an agency's operation.

Section 8D—Foreign Nationals

8.21. Employing Foreign Nationals:

8.21.1. An overseas assignment may place a SNCO in the position of supervising foreign national employees. Most American treaties with host nations include requirements for employing specified numbers of local nationals. Employee management is governed by agreements that should provide a workforce that is stable, efficient, and economical, local conditions permitting.

8.21.2. Although the specific details of any foreign national agreement will vary by country, the agreement should satisfy the following two principles: (1) prevailing practices, local laws, and customs shall be followed in the employment and administration of foreign nationals when the practices, laws, or customs are not in conflict with US law and are compatible with the basic management needs of the US forces; and (2) foreign nationals shall be employed as extensively as practicable, consistent with any agreement with the host country and DoD dependent-hire policies, to reduce the need to import workers.

8.22. Actions Concerning Foreign Nationals.

Because employment systems, administrative procedures, and management practices vary from country to country, supervisors should seek the advice and guidance of the installation CPF before taking any action concerning a foreign national employee.

8.23. Conclusion.

This chapter provided an overview of the Air Force civilian personnel management system and included civilian programs, the labor union, and foreign nationals. Today, perhaps more than ever, the Air Force must maximize its civilian employees' efficiency and effectiveness. SNCOs need an understanding of civilian issues to work as effective supervisors and accomplish the Air Force mission.

Chapter 9

STAFF-LEVEL COMMUNICATION

Section 9A—Overview

9.1. Introduction.

Clear communication is essential to efficient military operations. Every NCO needs to be a skilled communicator to be an effective manager and leader. AFPAM 36-2241, Volume 1, discusses basic communication skills—writing, reading, speaking, and listening. This chapter focuses on staff-level communication and includes information on conferences to help facilitate spoken communications. It also provides "how to" guidance for several instruments of written communication—AF Form 1768, **Staff Summary Sheet,** bullet background paper, short-note reply, trip report, and staff study report. This chapter provides various forms of correspondence used in the Air Force. AFMAN 33-326*, Preparing Official Communications,* and AFH 33-337, *The Tongue and Quill,* also offer help.

Section 9B—Spoken Communication via the Conference

9.2. Introduction.

Air Force communication can be complex due to the technical nature of our business. However, it is imperative that it be clear, concise, and *simple*. The conference is one way to facilitate good spoken communication. It gives people a forum for "facing down" a problem and quickly hammering out technical or binding issues. All members, from the SECAF down to the newest airman basic, have or will participate in conferences. Members may even be responsible for organizing and chairing a conference. This section reviews the purpose, discusses types, and outlines how to prepare and conduct a conference. ***NOTE:*** The word "conference" in this chapter also refers to meetings, group sessions, and workshops.

9.3. Purpose.

Conferences are used to provide information, solve problems, and negotiate agreements. The best way to understand the different conference types is to look at the following examples:

9.3.1. Informative Conference.

An informative conference teaches. For example, a workcenter receives new equipment and subordinates need to know how it operates. An informative conference is an effective way to discuss how the new equipment will affect the subordinates, rather than simply briefing them about the equipment. The informative conference is also useful for discussing a variety of topics. For the conference to be successful, each attendee must have background knowledge of the topic before the conference begins.

9.3.2. Problem-solving Conference.

Air Force leaders seeking a solution can profit from experts' knowledge and experience through a problem-solving conference. For example, a section consistently late in meeting commitments may affect the entire unit. A conference of the key personnel may be called to decide the best way to achieve common goals.

9.3.3. Negotiation Conference.

The objective of the negotiation conference is to find a solution acceptable to all parties. This conference is useful when a situation has two or more incompatible solutions, points of view, or approaches, but no one can or will make a decision. The monthly maintenance and operations meeting for aircraft scheduling is a typical negotiation conference. The maintenance section tries to maintain an ideal workload, but the operations section needs the aircraft to meet training and operational requirements. Experience shows these sections work better together when they discuss, negotiate, and find a compromise. The Air Force often conducts business and gains support through negotiation conferences.

9.4. Steps in Conference Preparations:

9.4.1. The first step is to analyze the purpose or the objective of the conference. Become familiar with the topic and plan accordingly. Is the objective to inform, solve a problem, or negotiate an agreement? Define goals or objectives. When hosting a conference for someone of a higher grade, follow the general guidelines received from this individual.

9.4.2. The second step is to set a date and place. The date selected should not conflict with other scheduled activities. It is important to reserve a facility well in advance, one large enough to accommodate the number of people expected. Also, consider the availability of temporary quarters for individuals coming from out of town. If possible, reserve Government quarters to reduce the cost.

9.4.3. The third step is to send a notice to the tentative attendees' units or sections. Request each attendee's name, grade, duty phone number, e-mail address, and position. Include an agenda with the place, date, time, length, purpose, and proposed discussion topics. Include lodging information (if arrangements have been made) or state that the attendee is responsible for making his or her own lodging reservations.

9.4.4. Next, research the attendees' background knowledge to determine the approach and discussion depth. Keep the conference goals in mind. If a decision is required, ensure the person with the influence or authority to make the decision is at the conference and prepared to make the decision.

9.4.5. The fifth step is to construct a discussion plan. This is an expanded agenda used as a personal checklist to ensure conference goals are met. Prepare an introduction or ask a key member to make an introduction to orient and motivate the attendees. The introduction should include an overview of the discussion topics. Prepare questions to stimulate discussion and keep the attendees moving toward the goals. If possible, anticipate areas that need research and include necessary material in the discussion plan.

9.4.6. The final step is to prepare the conference site. Remember, first impressions are lasting ones. The conference could get off to a bad start because of poor facilities. Ensure there are sufficient tables, chairs, and training aids. Check the room for proper ventilation, temperature, and lighting. If presentation equipment is needed, verify that it works. Be prepared. Have extra supplies available, such as projection bulbs, markers, tape, pencils, and paper. Ensure telephones are available in case attendees need to contact their units or duty sections.

9.5. Conducting a Conference.

The success or failure of a conference lies largely with its leader. A leader's zest and enthusiasm must be real, apparent, and contagious. The leader is responsible for "getting the ball rolling" and making the attendees feel it is their meeting and its success depends on their participation. A good, thorough introduction helps establish the right climate. Success hinges on following certain guidelines:

9.5.1. Introduce Attendees.

When it is time to start, introduce yourself and ask attendees to introduce themselves and tell what base or unit they represent. If you know all the attendees, you may want to make the introductions.

9.5.2. Establish Procedures and Ground Rules:

9.5.2.1. Attendees share the responsibility for a successful conference. Tell the attendees your role is to guide; their role is to carry the discussion. Point out that success depends on interaction, and encourage each attendee to participate. Attendees may be reserved until they begin to feel comfortable. Remember, those attending their first conference may prefer to listen rather than talk, but encourage everyone to contribute.

9.5.2.2. Successful conference activity usually takes place in an informal atmosphere. However, even when keeping the atmosphere informal, establish a few ground rules to ensure the best use of time. Ensure attendees are familiar with and accept these ground rules before you start.

9.5.3. Encourage Discussion.

Present the topic in a way the attendees will feel it is important. Be brief and to the point, but take time to present the topic forcefully. Ensure the attendees understand the purpose (inform, solve problems, or

negotiate agreements). Then let the conference take its natural course. Only interject when necessary, especially when attendees stray from the subject. Before closing a conference, summarize and clearly state the solution or conclusions reached. The members should leave with a feeling of accomplishment.

9.5.4. Complete the Paperwork.

No job is ever complete until the paperwork is done. Document the discussion and agreements reached and provide a copy of this account (minutes) to each participant and other affected parties. This ensures there is no misunderstanding and allows for followup action later. The written account must be clear, concise, and simple.

9.6. Participating in a Conference.

When participating in a conference, examine the specific purpose and review background information. Whether you are the conference leader or a participant, adequate preparation is the key to success.

Section 9C—Instruments of Written Communication

9.7. Overview:

9.7.1. Air Force personnel process an enormous amount of written communication. A former Air Force Vice Chief of Staff once commented that he had looked at 13,000 pieces of paper in a 5-day period. Think how much easier and more economical it would be if people would use the telephone, send e-mail, or write a short note.

9.7.2. To write or not to write—this is the question. If assigned a writing task, there is no option. However, if someone is looking for a specific answer, find out if he or she needs a short answer or a detailed one. Can the requirement be met with a telephone call, e-mail, short note, or is something more necessary?

9.8. AF Form 1768, Staff Summary Sheet:

9.8.1. Commonly referred to as “SSS” or “triple-S,” this form serves as a cover for action papers and information going to higher levels. It provides a concise summary of staff actions decision makers can review or act on. Other uses include summarizing and explaining important aspects of complex problems or providing background information.

9.8.2. Figure 9.1 contains information needed to complete this form. When prepared properly, it is an excellent vehicle for obtaining a formal decision, while saving time and effort.

9.8.3. The SSS is divided into three main areas. The top is for coordination, the middle contains administrative information, and the remaining area (Summary) contains information about the action proposal.

Figure 9.1. The Staff Summary Sheet.

STAFF SUMMARY SHEET

	TO	ACTION	SIGNATURE (Surname), GRADE AND DATE		TO	ACTION	SIGNATURE (Surname), GRADE AND DATE
1	DOEA	Coord		6			*Sign your surname, rank or grade, and date on the bottom line if you are the addressee; sign on the top line if you aren't the addressee. If more than 10 coordinators, use another form, renumber, and fill in all info through Subject line.*
2	DOE	Coord		7			
3	DO	Sign		8			
4				9			
5				10			

SURNAME OF ACTION OFFICER AND GRADE	SYMBOL	PHONE	TYPIST'S INITIALS	SUSPENSE DATE
CMSgt Bass	PD	652-4075	rdm	20020618

SUBJECT	DATE
Preparation of the Staff Summary Sheet (SSS)	20020601

SUMMARY

1. The SSS introduces, summarizes, coordinates, or obtains approval or signature on a staff package. It should be a concise (preferably one page) summary of the package. It states the purpose, pertinent background information, rationale, and discussion necessary to justify the action desired.

2. The SSS is attached to the front of the correspondence package. If an additional page is necessary, prepare it on plain bond paper. Use the same margins you see here. Summarize complicated or lengthy correspondence or documents attached, or any tabs that are not self-explanatory. If they're self-explanatory, say so. Attach a copy (or extract of appropriate portion) of any document referenced.

3. List attachments to the SSS as tabs. List the documents for action as Tab 1. List incoming memo, directive, or other paper--if any--that prompted you to prepare the SSS as Tab 2. (If you have more than one document for action, list and tab them with as many numbers as you need and then list the material you're responding to as the next number: Tabs 1, 2, and 3 for signature, Tab 4 incoming document.) List supplemental documents as additional tabs, followed by the record or coordination copy, and information copies. If nonconcurrence is involved, list it and the letter of rebuttal as the last tab.

4. VIEWS OF OTHERS. Explain concerns of others external to the staff (e.g., OSD, Army, Navy, State, etc.). For example: "OSD may disapprove of this approach."

5. OPTIONS. If there are significant alternative solutions, explain the options. For example: "Buying off-the-shelf hardware will reduce costs 25% but will meet only 80%of our requirements."

6. RECOMMENDATION. Use this caption when the SSS is routed for action. State the recommendation, including action necessary to implement it, in such a way that the official need only sign an attachment, or coordinate, approve, or disapprove the recommended action. Do not recommend alternatives or use this caption when the SSS is being submitted for information only.

Eugene H. Henry

EUGENE H. HENRY, Lt Col USAF
Commander, AFOMS

2 Tabs
1. Proposed Memorandum
2. HQ AETC/CC Memo, 1 Jun 02 w/Atch

AF FORM 1768, 19840901 *(EF-V5)* PREVIOUS EDITION WILL BE USED.

9.9. Bullet Background Paper (BBP).

The BBP is a popular means of providing information on a particular topic. Figure 9.2 provides additional information on the BBP format.

9.10. Short-Note Reply.

The short-note reply saves paper and keyboarding. Use it to acknowledge, provide a brief routine reply, or forward correspondence. Figure 9.3 shows how to prepare a short-note reply.

9.11. Trip Report.

A trip report describes a TDY trip to another location and includes the purpose, travelers, itinerary, discussions, and conclusions or recommendations. Figure 9.4 is an example of a typical trip report. ***NOTE:*** Most organizations have a standard template.

9.12. Staff Study Report.

What written staff instrument would you use to lay out a compact, yet complete, problem solution for a decision maker? Most likely, you would use the staff study report. It represents the completion of staff work; that is, the solution is complete enough that the decision maker has only to approve or disapprove. Use it to advise your supervisor about what should be done—provide answers, not questions. Of course, it is okay to find out if you are on the right track at any point in the problem-solving procedure. This coordination will also save you time. There is no single formula for a staff study report, and there are probably as many different types of reports as there are situations. However, Figure 9.5 illustrates a suggested format.

Figure 9.2. The Bullet Background Paper.

BULLET BACKGROUND PAPER

ON

THE BULLET BACKGROUND PAPER

An increasingly popular version of the background paper is the "bullet" background paper. The bullet format provides a concise, chronological evolution of a problem, a complete summary of an attached staff package, or main thrust of the paper.

Main ideas follow the intro paragraph and may be as long as several sentences or as short as one word (such as "Advantages").

- Second items follow with a single dash and tertiary items follow with multiple indented dashes. Secondary and tertiary items can be as short as a word or as long as several sentences.

- Format varies.

  -- Center title (all capital letters); use 1-inch margins all around; single-space the text; double-space between items—except double-space title and triple-space to text; use appropriate punctuation in paragraphs and complete thoughts.

  -- Headings such as SUBJECT, PROBLEM, BACKGROUND, DISCUSSION, CONCLUSION, or RECOMMENDATION are optional.

Keys to developing a good backgrounder:

- Write the paper according to the knowledge level of the user, i.e., a person who is very knowledgeable on the subject won't require as much detail as one who knows very little.

- Emphasize main points.

- Attach additional support data; refer to it in the backgrounder.

- Require minimum length to achieve brevity with short transitions.

- End with concluding remarks or recommendations.

Include an identification line (author's grade and name, organization, office symbol, phone number, typist's initials, and date) on the first page 1 inch from the bottom of the page or at least two lines below the last line of text.

TSgt Creviston/AFOMS/PD/7-4075/rdm/10Apr 02

Figure 9.3. The Short-Note Reply.

DEPARTMENT OF THE AIR FORCE
AIR FORCE OCCUPATIONAL MEASUREMENT SQUADRON

30 Mar 02

MEMORANDUM FOR ACSC/DEXP

FROM: AFOMS/PD
1550 5th Street East
Randolph AFB TX 78150-4449

SUBJECT: Request for *The Tongue and Quill*

1. I work for the Air Force, slinging ink at paper, pounding a computer, giving briefings, pushing packages, and opening my mouth quite frequently in the conduct of today's mission. I need a personal copy of *The Tongue and Quill.*

2. This copy would help tremendously to improve my communications techniques and those of the people who work for me. My personal opinion is that everyone who works in the Air Force, civilian or military, should have a personal copy of *The Tongue and Quill.*

Debra L. Bass
DEBRA L. BASS, CMSgt, USAF
Chief, Professional Development Flight

Memorandum for AFOMS/PD

Here's your T+Q -- check out the "Mechanics of Writing" section. I couldn't agree with you more about everyone having his or her copy!

Gwen Story

Attachment:
T+Q

Figure 9.4. The Trip Report.

DEPARTMENT OF THE AIR FORCE
AIR FORCE OCCUPATIONAL MEASUREMENT SQUADRON

25 Mar 02

MEMORANDUM FOR AFOMS/CC
HQ AETC/DO
IN TURN

FROM: AFOMS/PD
1550 5th Street East
Randolph AFB TX 78150-4449

SUBJECT: The Trip Report Format

1. PURPOSE: Briefly state the reason for the trip. The report should answer the questions who, what, when, where, why, and how much and provide recommendations and conclusions. Attach meeting minutes or any other background documents that provide more detailed information, if needed. The format for the report is not particularly important. The official memorandum shown here is a good example; however, if another format better suits the need or the organization has a preferred format, use it.

2. TRAVELER(S): Include grade, first name or initial, and surname. Provide position titles if travelers are from different offices or organizations. List names of members present in two columns to save space, if necessary.

3. ITINERARY: List location(s) visited, inclusive dates, and key personnel contacted.

4. DISCUSSION: Base the amount of detailed information on the knowledge level of the intended readers. Always include the trip objective, problems encountered, findings, future commitments made, and contributions to the event.

5. CONCLUSIONS/RECOMMENDATIONS: Summarize findings and/or recommended actions.

Jener M. Tiongson
JENER M. TIONGSON, SSgt, USAF
AF Manager, USAFSE Study Guide

Attachments:
Minutes, 19 Mar 02

Figure 9.5. The Staff Study Report.

DEPARTMENT OF THE AIR FORCE
AIR FORCE OCCUPATIONAL MEASUREMENT SQUADRON

30 Mar 02

MEMORANDUM FOR HQ AETC/LGMM

FROM: HQ AETC/LGMMR
1550 5th Street East
Randolph AFB TX 78150-4449

SUBJECT: Preparing a Staff Study Report

PROBLEM

1. Clearly and concisely state the problem.

FACTORS BEARING ON THE PROBLEM

2. Facts. Limit facts to only those directly relating to the problem.

3. Assumption. Should be realistic and supportive to the study.

4. Criteria. Give the standards, requirements, or limitations that will be used to test possible solutions. Ensure you can use standards to measure or test solutions.

5. Definitions. Describe or define terms that may confuse the audience.

DISCUSSION

6. This section should show the logic used in solving the problem. Introduce the problem and give some background, if necessary. Then explain the solution or possible solution.

CONCLUSION

7. State the conclusion. This should be a workable, complete solution to the problem previously described in "Discussion."

ACTION RECOMMENDED

8. Tell the reader the action necessary to implement the solution. This should be worked so the boss only needs to sign to make the solution happen.

Charles E. Lindsey
CHARLES E. LINDSEY, MSgt, USAF
Chief, Logistic Training

Attachments: (listed on next page)

9.12.1. Actions Before Writing the Report.

Before reporting a problem and proposed solution, mentally solve it. The thought process is more important than the specific format. The steps you use before writing are the same steps you use for problem solving.

9.12.2. Writing the Report.

Once you have done your homework, put your findings on paper. A smart decision-maker focuses on the relevance and accuracy of the supporting material and the logic of the argument. Full coordination is key to successful staff work. Starting with your own office, coordinate with every organization impacted by your report. If you point the finger at a particular person or unit or if your solution requires a change in a particular operation, make sure you are correct. The final test is to put yourself in your supervisor's place and ask if you are willing to stake your professional reputation on this product. If not, it is time to revise the report or start it over.

9.13. Conclusion.

Communication that is clear, concise, well thought out, and well composed is essential to getting things done in today's Air Force. We are all involved in speaking and writing to some extent. Therefore, we must be proficient at the methods we use. The conference is a useful forum for providing information, solving problems, answering questions, or simply facilitating agreements between affected parties. But we are more involved with *written* communication. In fact, there are countless reasons for writing. Fortunately, we have several instruments at our disposal to help us with the process. The SSS, BBP, short-note reply, trip report, and staff study report all serve a useful purpose and are tools to help us facilitate staff-level communication.

RICHARD E. BROWN III, Lt General, USAF
DCS Personnel

Attachment 1

GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION

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NOTE: This study guide contains materials from original sources. Please contact AFOMS/PD at **pfesg@randolph.af.mil** to obtain information on the location of the original sources.

Abbreviations and Acronyms

AADC—area air defense coordinator
AAFES—Army and Air Force Exchange Service
ABA—American Bar Association
ACR—authorization change request
ADC—area defense counsel
ADR—alternative dispute resolution
AEG—air and space expeditionary group
AEP—Affirmative Employment Program
AES—air and space expeditionary squadron
AETC—Air Education and Training Command
AEW—air and space expeditionary wing
AFCS—Air Force corporate structure
AFDD—Air Force doctrine document
AFEMS—Air Force Equipment Management System
AFIT—Air Force Institute of Technology
AFS—Air Force specialty
AFSC—Air Force specialty code
AFSP—Air Force Strategic Plan
AMA—American Medical Association
APOM—amended program objective memorandum
APPG—Annual Planning and Programming Guidance
ARC—air reserve component
AS—allowance standard
AU—Air University
AW—air warfare
AWOL—absent without leave
BBP—bullet background paper
BCE—base civil engineer

BES—budget estimate submission
CA/CRL—custodian authorization/custody receipt listing
CAAF—Court of Appeals for the Armed Forces
CAFSC—control Air Force specialty code
CAN—authorization change notice
CAS—close air support
CCAF—Community College of the Air Force
CC—cost center
CCDP—Civilian Competitive Development Program
CCM—command chief master sergeant
CD-ROM—compact disk-read only memory
CEM—chief enlisted manager
CENTAF—US Air Forces Central Command
CIVCOST—civilian cost analysis
CMSAF—Chief Master Sergeant of the Air Force
CMSgt—chief master sergeant
COG—center of gravity
COMAFFOR—Commander, Air Force Forces
CPD—core personnel document
CPF—civilian personnel flight
CPG—career progression group
CSAF—Chief of Staff, Air Force
CS—competitive sourcing
CSRA—Civil Service Reform Act
DOA—direct obligating authority
DoD—Department of Defense
DPG—defense planning guidance
DRU—direct reporting unit
DV—distinguished visitor
DVR—data verification record
EDS—employee development specialist
EEOC—Equal Employment Opportunity Commission
EEO—equal employment opportunity
E-mail—electronic mail
EMSG—Energy Management Steering Group
EOC—end of course
EPR—enlisted performance report
ETCA—education and training course announcement
FAC—functional account code
FES—Factor Evaluation System
FLRA—Federal Labor Relations Authority
FOA—field operating agency
FWS—Federal Wage System
FYDP—Future Years Defense Program
FY—fiscal year
GPC—Government purchase card
GS—General Schedule
HRB—human resource budget
HYT—high year tenure
I/O—institutional/occupational
IDEA—innovative development through employee awareness
INFOSEC—information security
ISR—intelligence, surveillance, and reconnaissance
JCS—Joint Chiefs of Staff
JFACC—joint forces air component commander
JFC—joint force commander
JFLCC—joint force land component commander
JFMCC—joint forces maritime component commander
JFSOCC—joint forces special operations component commander

JP—joint publication
JV 2020—Joint Vision 2020
MAAP—master air attack plan
MAJCOM—major command
MCM—manual for courts-martial
MDS—Manpower Data System
MEO—most efficient organization
MIA—mission in action
MilPDS—Military Personnel Data System
MKTS—Military Knowledge and Testing System
MO—manpower and organization
MOOTW—military operations other than war
MPB—military personnel flight
MSgt—master sergeant
NAF—nonappropriated fund; numbered air force
NCO—noncommissioned officer
NFQ—not fully qualified
NMS—National Military Strategy
NSS—National Security Strategy
O&M—operation and maintenance
OCI—Office of Complaint Investigations
OJT—on-the-job training
OMB—Office of Management and Budget
OPCON—operational control
OPM—Office of Personnel Management
OPSEC—operations security
OSC—organizational structure code
OSD—Office of the Secretary of Defense
OWC—Officers' Wives Club
PAR—personnel action request
PAS—personnel accounting symbol
PBD—program budget decisions
PCS—permanent change of station
PDM—program decision memorandum
PD—position description
PDS—Personnel Data System
PECD—promotion eligibility cutoff date
PEC—program element code
PERMISS—Personnel Management Information Support System
PME—professional military education
POC—point of contact
POM—program objective memorandum
POW—prisoner of war
PPBS—Planning, Programming, and Budgeting System
QSI—quality step increase
RAP—resource allocation process
RA—resource advisor
RC—responsibility center
RIP—report on individual personnel
RM—resource manager
RMS—Resource Management System
ROS—report of survey
SCPB—standard core personnel document
SDI—special duty identifier
SECDEF—Secretary of Defense
SEPM—special emphasis program manager
SMSgt—senior master sergeant
SNCO—senior noncommissioned officer
SrA—senior airman

SSS—staff summary sheet
TJAG—The Judge Advocate General
TOA—total obligation authority
UAV—unmanned aerial vehicle
UCMJ—Uniform Code of Military Justice
ULP—unfair labor practice
UMD—unit manning document
UPMR—unit personnel management roster
UPRG—unit personnel record group
USAFSE—United States Air Force supervisory examination
WAPS—Weighted Airman Promotion System
WGI—within-grade increase
vMPF—virtual military personnel flight